

Georgia Healthy Collections Initiative

Report of the HCI Test Survey

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SUMMARY

With its first phase completed, the Georgia Healthy Collections Initiative has been a great success, creating several useful, unique, and exciting products:

- an updated interactive GHRAB *Historical and Cultural Organizations Directory* web site;
- a test survey of more than 80 collections-holding institutions in Georgia, which produced initial findings that will inform future statewide emergency and preservation planning and enhance tourism;
- a stair-step scale (calculated using a subset of the survey questions) that rates survey participants according to the current level of their collections care program; and
- customized stair-step reports for the survey participants with suggestions for moving their collections care programs up to the next level.

The stair-step scale and customized reports are entirely new tools that provide meaningful and measurable information for the survey participants. They have transformed the survey from a one-time snapshot of collections care activities into an ongoing tool for assessing progress over time. Participants have a strong incentive to provide accurate and detailed information, and to take the survey again in future, since they will receive practical advice tailored to their needs in return.

The potential value of a tool that can be used on an ongoing basis to help individual institutions improve collections care and to provide ideas for statewide preservation activities cannot be overstated. The project partners are looking forward to conducting a full survey of institutions in Georgia and automating the stair-step analysis and reporting process during the next phase of the Georgia HCI project. It is anticipated that this project will provide substantial benefits to collections-holding institutions in Georgia—and other states that may adopt this tool—for many years to come.

INTRODUCTION

In May 2008 the Georgia Archives began the Georgia Healthy Collections Initiative (HCI) project, funded by the Institute of Museum and Library Services (IMLS). The project's initial goal was to plan a statewide survey of cultural institutions to measure the state of collections care and readiness for emergencies in Georgia. The planning phase of the HCI focused on identifying and gathering information about collections-holding institutions in Georgia, and developing and testing a survey instrument that included a stair-step collections care assessment.

The HCI project was funded by a Connecting to Collections grant from IMLS. Grant partners were selected to provide a comprehensive representation of archives, libraries, museums, and historical societies (ALMH) collecting institutions in Georgia, as well as organizations that can assist in promoting the importance of preservation and collections care statewide and raise the visibility of collecting repositories. Partnering with the Georgia Archives on this project are:

- Georgia Public Library Service (Office of the State Librarian),
- Georgia Association of Museums and Galleries (GAMG),
- Georgia Emergency Management Agency (GEMA),
- Georgia Historic Preservation Division, Dept of Natural Resources (HPD),
- Georgia Humanities Council,
- Society of Georgia Archivists (SGA),
- GA Department of Economic Development, and
- LYRASIS (formerly SOLINET, the Southeastern Library Network)

This report summarizes the results of the HCI test survey conducted in March 2009. It sets out initial findings indicated by analysis of the stair-step assessment data and general collections care data. This information is provided only in aggregate; no identifying information is shared about any individual institution.

It is anticipated that in the implementation phase of the project, the survey instrument will be revised, the stair-step assessment tool and reports will be automated, and a more comprehensive group of institutions will be surveyed. The initial findings from the test survey have been used to begin planning statewide education and training activities for collections care. As more definitive information is gathered through the full HCI survey, these implementation activities will be revised as needed.

The full survey and automated stair-step assessment tool, the database of Georgia ALMHs, and the resulting education and training activities will address key recommendations of the Heritage Health Index (HHI), including:

- assessing and improving storage conditions for collections,
- strengthening statewide emergency preparedness,
- heightening visibility of cultural repositories, and
- serving as a model for other states in the southeast and beyond.

SURVEY DEVELOPMENT

The planning phase of the HCI focused on updating and gathering contact information for collections-holding institutions in Georgia, expanding the Georgia Historical Records Advisory Board's (GHRAB) *Historical Organizations and Resources Directory*, and developing and testing the survey instrument that included the stair-step collections care assessment tool.

Identifying Collections-Holding Institutions in Georgia

As a starting point in identifying institutions to participate in the HCI Survey, mailing lists were obtained from the Project Partners Advisory Committee, and organizations on these lists that were *not* already in the GHRAB *Historical and Cultural Organizations Directory* were identified. This process identified 256 potential institutions to be added to the *Directory* during the course of the project. These institutions

were contacted by phone and email, and as of April 2009 a total of 145 new entries (a 57% response rate) had been added to the *Directory*, bringing the number of entries in the *Directory* to 643 overall. The majority of organizations added were museums, with public libraries being the second largest group. Entries for college and university libraries, archives, parks, historic sites and historical societies were also added, greatly expanding the diversity and variety of organizations included in the *Directory*.

In addition, old *Directory* entries were updated and the *Directory* web page was redesigned to include:

- a slideshow of pictures from member institutions
- a new link allowing new users to add themselves to the *Directory*
- a link to allow current users to log in and update their own information
- several new search capabilities

The Survey Instrument

In May 2008 the first Project Partners Advisory Committee meeting was held. During this meeting, the committee identified questions from the Heritage Health Index survey that should be included in the Georgia Healthy Collections survey, and began to develop criteria for the four stair-steps that to be used in the assessment tool to determine the position of survey respondents along the continuum of collections care and emergency preparedness goals.

Following the initial advisory committee meeting, the first draft of the survey instrument was developed. Some questions were devised specifically to determine an institution's stair-step level (see next section, below), while others were included to solicit background information (e.g., type of institution, staffing levels), identify current preservation activities, and determine initiatives that might be needed at the statewide level in future (e.g., surveys, training). The survey was input into Survey Monkey, and members of the Project Partners Advisory Committee tested the survey prior to the second advisory committee meeting, which was held on October 7, 2008. This meeting yielded suggestions for revision of various questions.

During October and November 2008, the consultant analyzed the Advisory Committee's responses to the survey and mapped them to the stair-step criteria that had been developed. Additional changes to the survey were made as a result, simplifying some criteria and some survey questions to make the stair-step analysis more straightforward. The final test survey questionnaire can be found in Appendix A.

The Stair-Step Assessment

As the HCI survey was being developed, the project staff and consultant identified four potential preservation stair-step levels: minimal, basic, advanced, and comprehensive. For each preservation category in the survey (collection description, preservation management, environment, emergency planning, collections care, expenditures and funding, and advocacy and training), activities were identified to match each stair-step level.

Each preservation category in the survey includes at least one question designed to assess the respondent's stair-step level within that category. Some categories of particular importance (such as environmental control and emergency planning) include several stair-step questions. The stair-step questions address the most crucial issues in each category, and the potential answers are structured to line up with the four stair-step levels.

To ensure that the stair-step questions and categories had been correctly weighted in relation to each other, a short "importance survey" was created that asked respondents to rate each category and each of the 20 stair-step questions on a scale of 1-5 in terms of its overall importance to collections preservation. The importance survey was sent to the HCI advisory committee, as well as to preservation colleagues around the country who have been involved in statewide preservation planning projects. Responses showed that the existing weighting of questions was largely correct. The only exception was the collections care category, in which respondents gave the category a 4-5 rating, but rated the existing questions in the category significantly lower. Recommendations for changes in response to this finding are given in Appendix E.

The project consultant also developed a boilerplate report that can be easily customized for each survey respondent, providing their overall stair-step level, their stair-step level within each category, and recommendations for advancing to the next level. It is anticipated that these reports will be automated during the implementation phase of the project, hopefully allowing participants to see their stair-step levels and print a report online when they complete the survey. For an example of a survey report, see Appendix D.

The Test Survey

The testing phase for the survey instrument began in February 2009. Prior to this time, members of the Project Partners Advisory Committee were asked to identify and encourage participants to test the survey instrument from a wide variety of institution types. In addition, several organizations had previously volunteered to test the survey. From these groups a total of 117 institutions were identified and asked to participate in the survey. Project staff ensured that there was a variety of institutions represented, including large and small academic libraries, independent archives, museums of varying size and type, historical societies, and public libraries.

The final version of the test survey was posted on Survey Monkey by the Project Consultant and the link was sent via email to the test participants on February 10, 2009. The survey was available only online; participants were not provided with a hard copy. Participants were given three weeks to complete the survey. Two subsequent reminders were sent out in early March. We received a return of 79 complete responses (67.5%), plus 2 duplicate responses, 2 empty responses (no data after the initial institutional information), and 2 partially complete responses (one with all sections completed except the final institutional information, and one with only the first few sections completed). As incentives for completion, complimentary copies of Heritage Preservation's *Field Guide to Emergency Response* were

mailed to the first 20 respondents, and an *Emergency Response and Salvage Wheel* was sent to every respondent.

In late March, several weeks after the test survey was completed, respondents were sent a short follow up questionnaire via email to elicit their feedback about the survey itself. It included seven questions about the time it took to complete the survey, whether questions were clearly worded, and suggestions for changes or additions. Feedback was received from 19 (24%) of the survey respondents. On average, the survey took respondents 27 minutes to complete. Eighteen out of 19 respondents felt that the survey was easy to complete, and all the participants stated that they would like to participate in a revised version of the survey. Most of the respondents felt that the survey questions and answers were applicable for their institutions, although it was suggested that the survey offer more opportunities to make comments and allow survey takers to elaborate or qualify answers. Several participants expressed that the survey was comprehensive and that it effectively helped them assess their collection care policies and needs.

Data Analysis

The survey data was downloaded from Survey Monkey and stored in three Microsoft Excel spreadsheets. The two duplicate responses were deleted from Survey Monkey, leaving a total of 83 responses, two of which were empty aside from the initial institutional information, and two of which were incomplete.

Stair-step data analysis was done manually (it is anticipated that these reports will be automated during the implementation phase of the project) using the subset of the survey data that corresponded to the stair-step questions. Since accurate stair-step analysis required a complete response, the two empty responses and one of the partially completed responses were not used (the other partially complete response answered all the stair-step questions).

Overall data analysis was done within Survey Monkey using its filtering and cross-tab features. Survey respondents were required to answer the stair-step questions and the basic institutional information questions; all other questions were not required, and a few respondents skipped some questions. Thus, the data analysis always presents the percentage of those who answered a question, rather than the percentage of the total survey responses. In cases where one of the answer choices was “Not Applicable,” those responses were subtracted from the total responses to that question when calculating percentages.

The project team and the advisory committee felt that it would be useful to view the stair-step data and some of the overall data by institution type and size. The 22 answer choices for the institution’s “primary function or service” were combined to categorize institutions into six groups by institution type: archives, public libraries, academic libraries, historical societies, museums, and archaeological repositories/scientific research collections. Ten institutions entered data into the “other” field for institutional type; these “other” answers were examined individually and incorporated into the existing answer categories for the purposes of analysis. Institutions were also categorized into three groups by

size for both the stair-step and the general analysis: small (budget <\$500,000), medium (budget \$500,000 to \$5 million), and large (budget >\$5 million). This categorization was done using question #49, which asked for the institution's total annual operating budget in the most recently completed fiscal year.

Overall, analysis of the test survey data by institution type and size was not extensive due to the small number of certain institution types (e.g., only seven historical societies) that participated in the test survey. It is anticipated that full survey data will be more fully analyzed by institution type and size.

CHARACTERISTICS OF THE PARTICIPATING INSTITUTIONS

Institutions were given 22 choices to describe their primary function or service. The ten “other” responses were incorporated into the existing categories. For purposes of data analysis, the categories were then combined into six general types. Where data is presented by type in this report, five types are used, since the sixth type, archaeological/scientific collections, was not represented in the test survey.

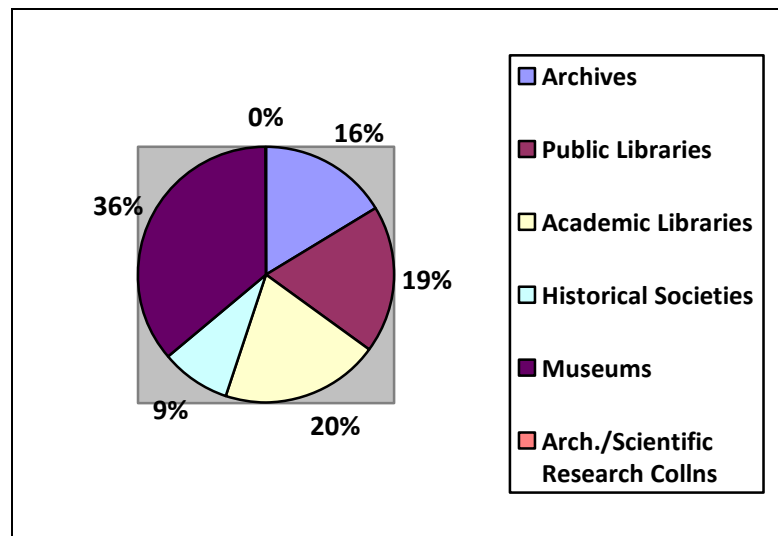
Figure 1: Respondents by Specific Type

Type of Respondent	Percentage of Total
Archives	16.0%
Public library special collection (includes 3 public library general collections)	18.5%
Academic library special collection	9.9%
Academic library	9.9%
Independent research library	0%
Special library	0%
Historical society	8.6%
Historic house/site	13.6%
History museum	14.8%
Art museum	5.0%
Children’s/youth museum	0.0%
Natural history museum	0.0%
Science/technology museum	1.2%
General museum (collection represents 2 or more disciplines)	2.5%
Archaeological repository or research collection	0%
Agency or university department with scientific specimen/artifact collection	0%
Arboretum or botanical garden	0%
Aquarium	0%
Nature Center	0%
Planetarium	0%
Zoo	0%

Similar institution types were combined into six main types by primary function, shown below. The public library category includes both special and general collections. The academic library category

includes special collections, general collections, independent research libraries, and special libraries. The museums category includes historic houses/sites, history museums, art museums, children's/youth museums, natural history museums, science/technology museums, general museums, arboreteums, botanical gardens, aquariums, nature centers, planetariums, and zoos. The archaeological/scientific research collections category includes archaeological repositories or research collections, and agency or university departments with scientific specimen/artifact collections (there were no institutions in this category for the test survey).

Figure 2: Respondents by General Type



Institutions were also asked to indicate which additional functions and services they provide. They were permitted to select all that applied, and a number of institutions selected more than one choice. Again, the twelve "other" responses were incorporated into the existing answer choices as appropriate. Results are shown in Figure 3 below; overall, only 19.2% of those who answered the question had no additional functions or services relating to collections. The two most common additional functions were library and archives.

Figure 3: Additional Functions and Services

Function or Service	Percentage of Respondents
Archives	53.8%
Library	61.5%
Historical society	12.8%
Historic house/site	15.4%
Museum	32.1%

Archaeological repository or research collection	5.1%
Agency or university department with scientific specimen/artifact collection	2.6%
Aquarium, zoo, arboretum, botanical garden, nature center, or planetarium	2.6%
None	19.2%

Slightly more than one third of the institutions surveyed were non-profit, non-governmental organizations or foundations. Another 22.5% were public colleges, public universities, or other public academic entities. Another 22.5% were county or municipal institutions, primarily public libraries. Private colleges and universities accounted for 8.8%, and 7.5% were state institutions. At 1.3% each, federal and corporate/for-profit organizations were the smallest percentage. No tribal-governed organizations were included in the test survey.

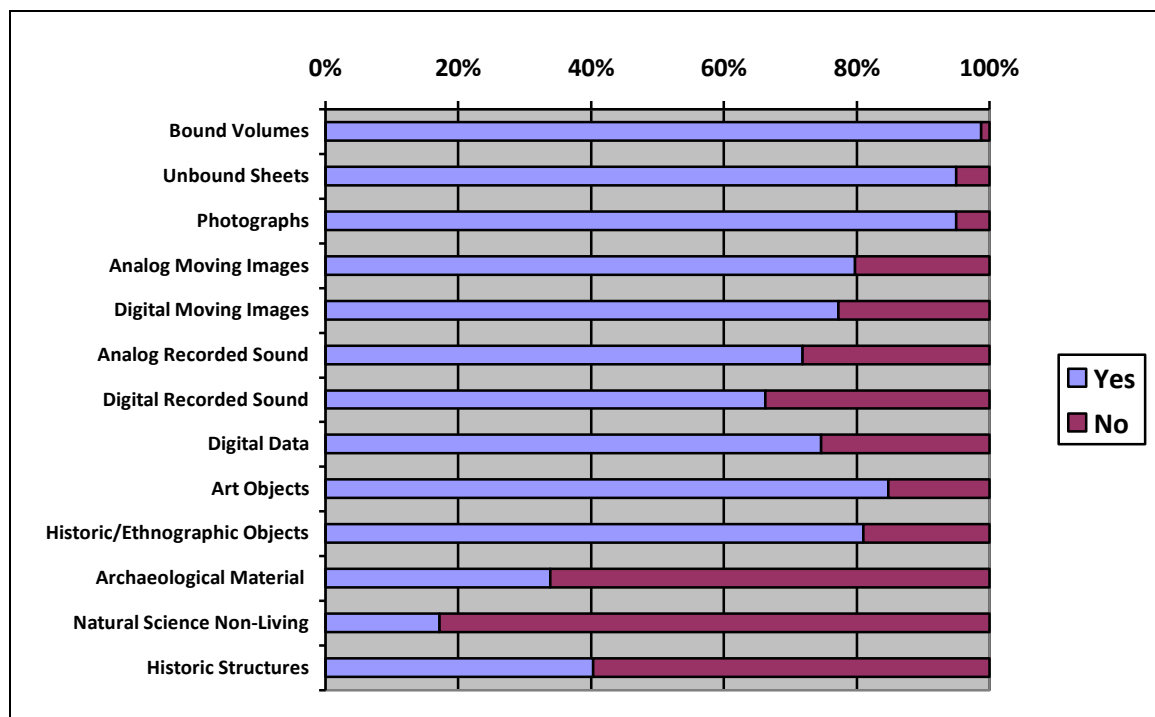
Institutions were asked several questions relating to the internet; overall, 97.5% of respondents reported that they have internet access, and 90.2% reported that they have an institutional web site. The number reporting that they had a web site decreased slightly when institutions were asked specifically about web site traffic in the past year. When asked about the number of unique visitors to their web site, only 83.8% reported having a site; 58.2% of those institutions do not track the number of unique visitors. Another 17.9% have between 10,001 and 100,000 unique visitors per year. When asked about the number of page hits on their site in the past year, 88.3% of the responding institutions reported having a site; but 55.9% of those do not track the number of page hits. Another 13.2% of them have between 10,001 and 100,000 page hits per year, and 13.2% have between 100,001 and 500,000 page hits.

A majority of the survey respondents (87.5%) have full-time paid staff (all staff, not just those for preservation). Of those, 27.1% have less than three full-time staff members, and 50% have less than six. Another 25.7% have between 6 and 20 full-time staff, while the remaining 24.3% have 21 or more full-time staff members. A similar proportion of respondents (81.3%) have part-time paid staff, with 38.4% of those having less than three part-time staff. A still smaller number (11.3%) of respondents have full-time unpaid staff; all of them have less than three. About a third (33.8%) of respondents have part-time unpaid staff, with 41.4% of those having less than three, 34.5% having 3-10, and 16.9% having 11 or more.

The majority of respondents (53.8%) serve more than 5000 on-site visitors per year. Another 22.5% serve between 501 and 5000 visitors, while 17.5% serve between 1 and 500. 6.3% do not track the number of on site visitors.

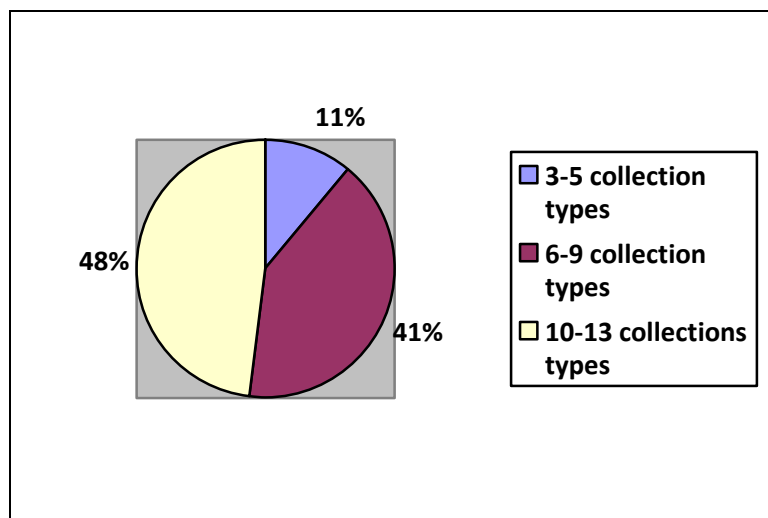
Institutions were asked to indicate what types of collections they held, checking all the choices that applied. Almost all of the respondents (98.8%) hold books and bound volumes, and 95% hold unbound sheets and photographic collections. The data is summarized in Figure 3 below.

Figure 4: Types of Collections Held



Most of the test survey institutions have responsibility for multiple types of collections. No respondent reported holding less than three types of collections, and the majority (88.9%) are caring for six or more different types of collections. More than half of the respondents (61.7%) hold nine or more different types of collections (see Figure 5).

Figure 5: Institutions Caring for Multiple Collection Types



The majority of institutions surveyed were categorized as small (budget <\$500,000); the overall size distribution is shown in Figure 5. Among the different types of institutions, distribution was fairly similar for small, medium, and large, although archives had a larger proportion of small institutions. Figure 6 shows the distribution by size and type.

Figure 5: Institutions by Size

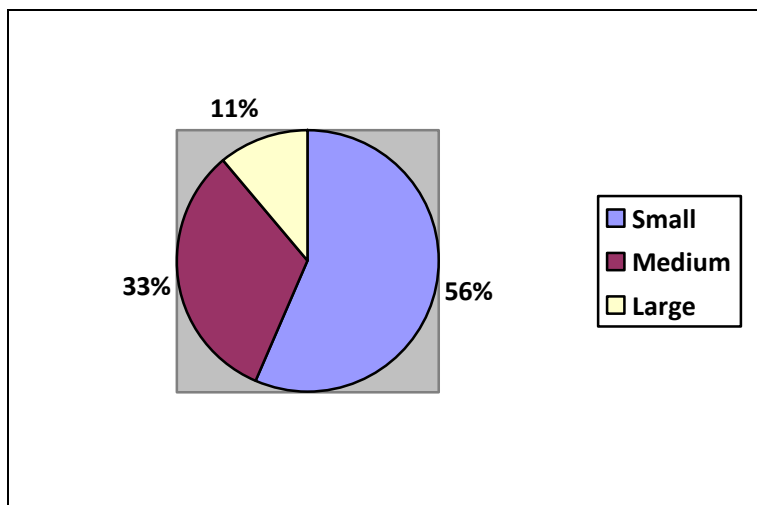
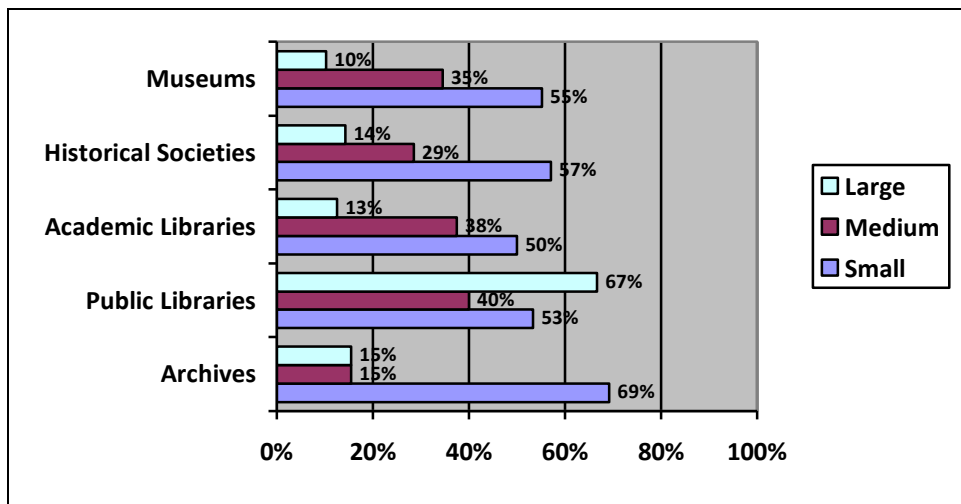


Figure 6: Institutions by Size and Type



STAIR-STEP ANALYSIS

The HCI project aims to take the survey process a step further by providing concrete and useful information to the survey respondents in return. This will help them improve their individual collections care and preservation programs, and it is hoped that institutions will see it as an incentive to participate in the statewide survey process on an ongoing basis, making it possible to track progress over time. Project staff envisions that institutions will return to the stair-step assessment tool periodically and retake the survey to determine their current stair-step level. This will provide guidance for individual institutions as well as ongoing information at the state level about training, emergency preparedness, and other preservation needs.

To further the development of this stair-step assessment tool, the HCI test survey was designed to determine the current position of each participating institution's preservation program on a "stair-step" scale of one to four. Figure 7 summarizes the rankings that were used.

Figure 7: Stair-Step Levels

Stair-Step	Level of Preservation Activity	Scoring Range
Step 1	Minimal	50-1.59
Step 2	Basic	1.60-2.59
Step 3	Advanced	2.60-3.59
Step 4	Comprehensive	3.60-4.00

In general, the levels are characterized as follows (see Appendix B for more detail):

Minimal: Minimal activity, just beginning to establish preservation awareness.

Basic: Basic awareness and some preservation activities

Advanced: Characterized by more formal preservation planning efforts and allocation of additional resources, as well as more complex and ongoing preservation activities in various categories.

Comprehensive: A well-established preservation program is in place that addresses all major preservation needs and issues. The organization ensures that ongoing resources are available to support the program, and that new preservation needs are identified and addressed as circumstances change.

Nineteen questions within the HCI Survey were used to calculate an overall current stair-step level for each institution, as well as stair-step levels for each of the seven categories in the survey. See Appendix B for the questions and answer choices that were used to calculate the stair-step levels. Each institution was provided with a report that summarized their rankings, and gave boilerplate background information and recommendations for moving to the next stair-step level within each category and overall. These reports are not intended to be as detailed or customized as an assessment done onsite by a surveyor; it is hoped that they can provide a starting point for institutions wishing to develop their preservation programs. See Appendix D for a sample institutional report.

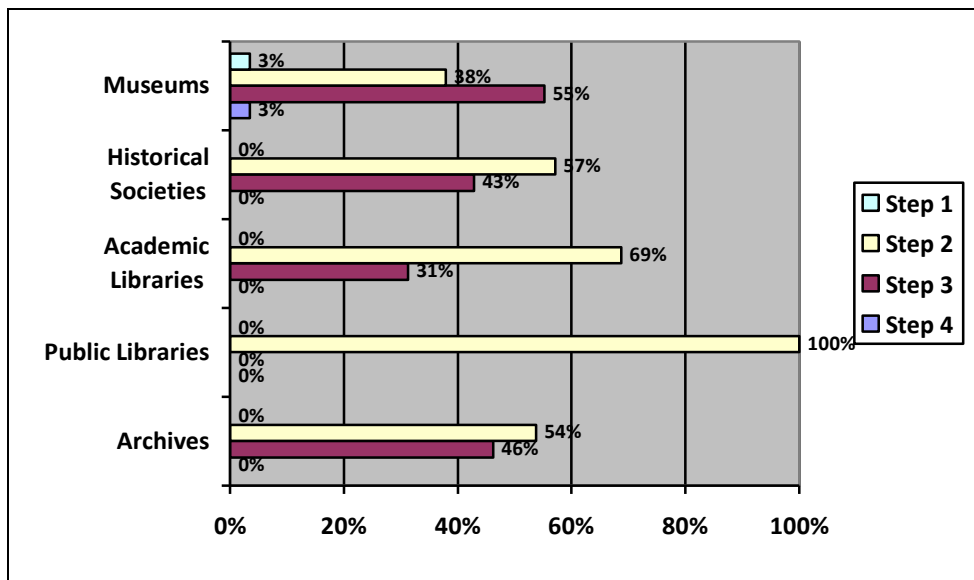
Eighty responses were complete enough to use in the stair-step analysis. Overall, the majority of institutions were found to be on Step 2, with most of the remainder on Step 3. There was one institution on Step 1 and one on Step 4. Results are summarized in Figure 8 below:

Figure 8: Stair-Step Results

Stair-Step Level	Number of Institutions	Percentage
Step 1	1	1.3%
Step 2	48	60.0%
Step 3	30	37.5%
Step 4	1	1.3%

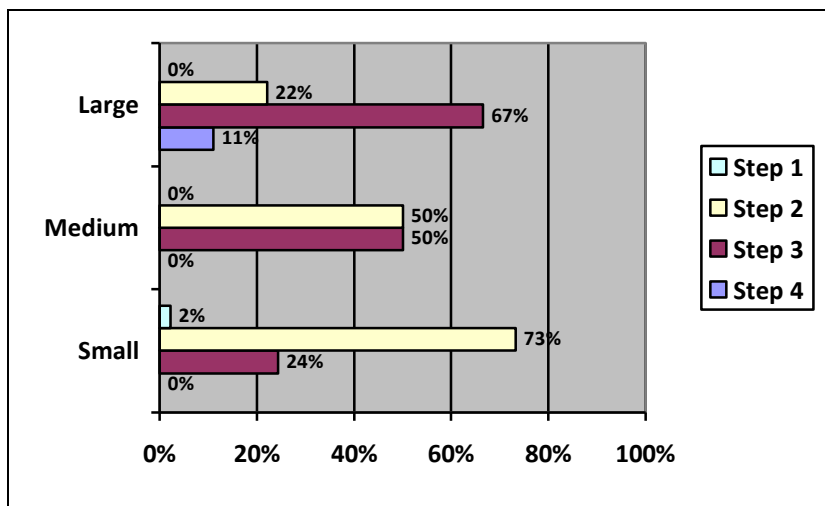
Stair-step results were also calculated by type and size of institution. While the majority of institutions are on Step 2 or Step 3, there are some variations by type of institution. Museums are the only type with more respondents on Step 3 than Step 2 (38% on Step 2, 55.2% on Step 3). Archives are the most evenly split, with 53.8% on Step 2 and 46.2% on Step 3. Historical societies are also fairly evenly split, with 57.1% on Step 2 and 42.9% on Step 3. Academic libraries have a clear majority (68.8%) on Step 2, with only 31.2% are on Step 3, and 100% of public libraries are on Step 2. The results are summarized in Figure 9.

Figure 9: Stair-Step Results by Institution Type



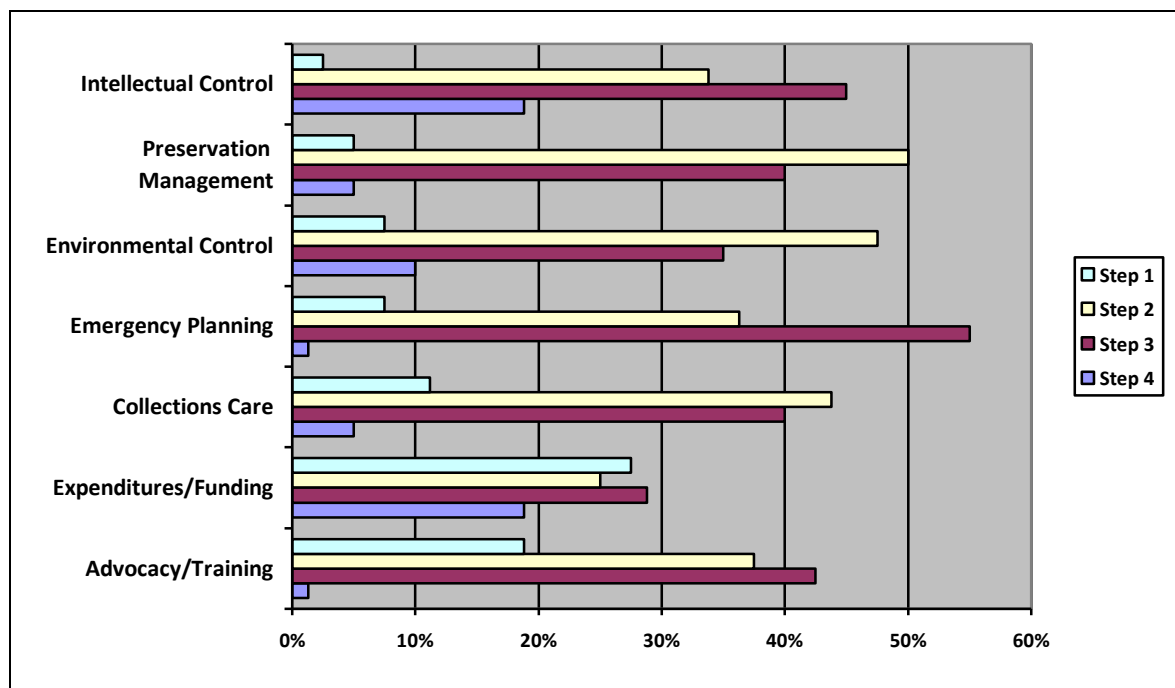
The stair-step results by size of institution demonstrate the greater needs of smaller institutions (Figure 10). Of small institutions, 73% are on Step 2, and 24% are on Step 3. For medium institutions, the split is even; 50% are on Step 2 and 50% on Step 3. Of the large institutions surveyed, only 22% are on Step 2, with 67% on Step 3 and 11% on Step 4. No medium or large institutions were on Step 1.

Figure 10: Stair-Step Results by Institution Size



Stair-step results were also calculated by each of the preservation categories in the survey. While all categories showed a need for improvement, some had more institutions on the lower steps than others. Preservation management (50%), environmental control (48%), and collections care (44%) had the most institutions on Step 2, indicating particular needs in these categories. Intellectual control (44%), emergency planning (55%), and advocacy and training (43%) had more institutions on Step 3, but still a significant number on Step 2 (34%, 36%, and 38%, respectively). The percentage of institutions on Step 3 in emergency planning may reflect the fact that significant effort has been expended within Georgia in recent years to improve emergency preparedness for cultural institutions. Expenditures and funding was the most evenly split of the categories, with similar numbers of institutions on Step 1 (28%), Step 2 (25%), and Step 3 (29%). While all categories had some institutions on Step 1, in particular expenditures/funding and advocacy/training had a significant percentage on Step 1.

Figure 11: Stair-Step Results by Category



The initial findings from the test survey indicated that most institutions are on Step 2, with a smaller number on Step 3, and very few on Step 1 or Step 4. It is expected that these findings will be confirmed when additional data is gathered through the full survey. The full survey will also produce more definitive results for stair-step distribution by institution size and type and by individual stair-step categories.

GENERAL ANALYSIS

Intellectual Control

Since good collections care and preservation decisions are difficult to make in the absence of intellectual control of collections, institutions were asked whether or not their collections have been cataloged. This was defined as having a research tool or finding aid that provides intellectual control over each collection through entries that may contain descriptive detail, including physical description, provenance, history, accession information, etc.

The test survey data showed a need for additional processing and cataloging, as well as for making collection records available electronically. Less than one fifth (18.5%) of respondents reported that all of their collections are cataloged. An additional 45.7% have most, but not all of their collections are cataloged. A further 33% have only some collections cataloged, and 2.5% reported having no catalog at all.

Of those institutions whose collections were partially or completely cataloged, 32.9% have all of their cataloged records available electronically. Another 26.6% have most of their cataloged records available electronically, and another 25.3% have some electronic catalog records. A related question asked institutions if they provide online access to the content of any of their collection holdings, including online exhibitions and digitally scanned collections; 41.3% reported that they do provide such access.

Preservation Management

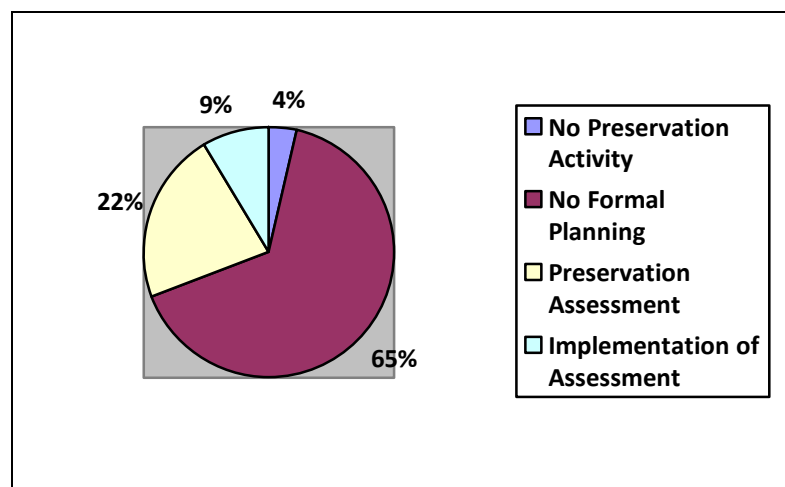
Preservation management encompasses a number of issues; respondents were asked about their mission, their preservation assessment and planning activities, and their staffing for preservation/conservation.

Institutions were asked whether or not they had a mission statement for their collections, and to what extent it supported collections preservation activities. The vast majority of institutions (95.1%) do have a written mission statement, but about a third (33.3%) do not have a reference to preservation of collections in that statement (although they may undertake some basic preservation activities). The remainder (61.8%) have a mission statement that includes a reference to preservation, and they report regularly undertaking collections preservation activities.

However, the test survey data generated by other questions in this section did show a clear need for preservation assessment and planning activities. A majority of the respondents (69.1%) have done no formal preservation planning. A relatively small number (22.2%) have had a formal preservation planning assessment of the entire institution in the past five years, while only 8.8% report having such a survey and taking action to implement its recommendations (Figure 12). These initial findings indicate that additional preservation assessment and help with preservation planning is needed. The stair-step

assessment tool will address this need by providing basic information and general recommendations to a wide range of institutions statewide, encouraging them to begin thinking about their preservation priorities. The full survey will provide more definitive information about the numbers and types and institutions needing planning assistance.

Figure 12: Preservation Planning



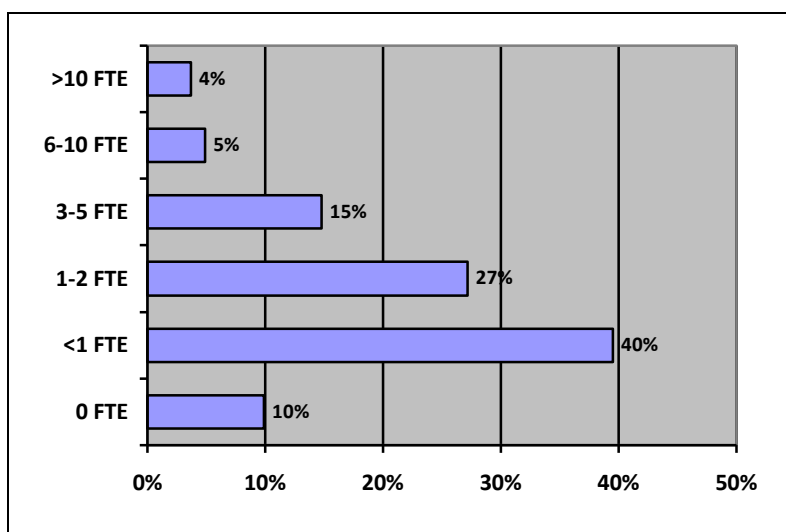
Responses to the staffing questions also indicated a need for additional preservation staffing. This was confirmed when institutions were asked to indicate their top three preservation priorities at the end of the survey; additional staffing was in the top three for the greatest number of institutions (see the conclusion section of this report).

A significant number of the respondents (13.6%) do not have any staff carrying out preservation activities. About half of the respondents (50.6%) assign preservation responsibilities to various staff as needed and occasionally use the services of external providers. This can be problematic if staffing is inconsistent and/or if staff members do not have proper training, since it can result in haphazard preservation activities. The remainder of the respondents report that they do assign preservation responsibilities to specific staff members, but only a few (11.1%) have formalized these assignments within job descriptions. Thus, almost 90% of respondents do not include preservation responsibilities in job descriptions. This is worrisome because staff members must have sufficient time and institutional support to carry out preservation activities effectively.

Institutions were asked to report in FTEs the number of staff who perform conservation/preservation activities (including full-time staff, part-time staff, seasonal workers, work study students, interns, etc.). More than three quarters of the respondents (76.6%) have two or fewer FTEs carrying out preservation activities. This includes almost 10% who have no staff with responsibility for preservation and 39.5% that have 1 or fewer FTEs. Another 14.8% have 3-5 FTE, and a few institutions (8.6%) have more than 6 FTE (Figure 13).

Overall, the responses to the test survey indicate a significant population of institutions with one or more staff members carrying out preservation activities in addition to other responsibilities, possibly with limited training and limited time. More definitive information will be gathered through the full survey.

Figure 13: Preservation/Conservation Staffing (in FTEs)



Environmental Control

Maintaining stable and moderate environmental conditions is one of the most important collections preservation activities. Even though it may not be realistic for institutions to maintain tight control for all collections, it is still very important to maintain the best conditions possible to provide the longest lifespan possible for collections.

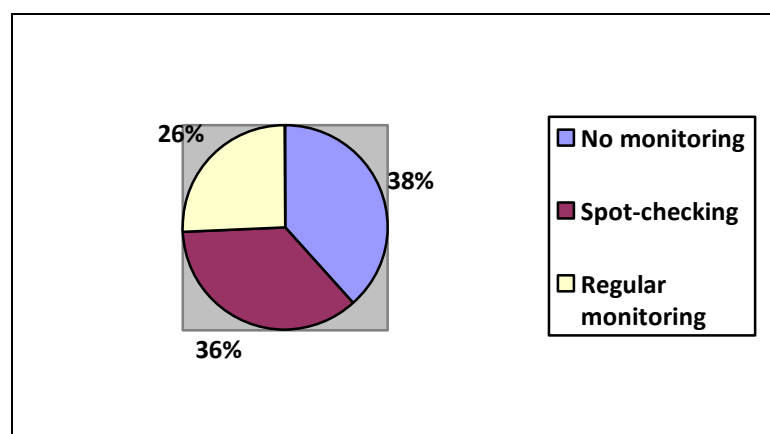
The test survey respondents were asked how they use environmental controls to meet temperature and relative humidity (RH) specifications for the preservation of collections. The majority (72.8%) reported that they have a standard HVAC (heating, ventilating, and air conditioning) system with occasional additional RH control as needed, perhaps using stand-alone dehumidifiers/humidifiers. A smaller number (18.5%) reported having a specialized HVAC system designed to provide humidification in winter and dehumidification in summer. A much smaller number (8.7%) reported having no environmental control or winter heating with some summer cooling using stand-alone equipment.

Although a large percentage of respondents have standard HVAC systems (this is likely due to the fact that the institutions are located in the southern U.S.), responses to other questions in this section raise the concern that such systems might not be providing the desired control. A majority of respondents (53.1%) reported that although their equipment operates 24 hours a day, 7 days a week, settings may be altered occasionally and RH control equipment is run as needed. Another 19.8% of respondents

reported that temperature and RH settings are altered frequently for human comfort and/or energy savings, or that heat/air conditioning is turned off at night.

When asked about monitoring temperature and RH, only 25.9% of respondents report that they record temperature and RH readings regularly in collections storage. The remaining 74.1% spot-check conditions occasionally or do not monitor at all (Figure 13). In addition, 83.1% of institutions with standard HVAC systems do not monitor conditions at all (40.7%) or spot-check only occasionally (42.4%). This suggests that they do not know whether conditions are acceptable for collections preservation.

Figure 14: Monitoring Temperature and RH



When asked whether temperature fluctuates more than ± 10 degrees F within a month in collection storage areas, 67.9% of respondents report that it does not. However, of these respondents, 67.2% only spot check environmental conditions or do not monitor the climate at all. When asked a similar question about RH, 37.0% report that it does not fluctuate more than $\pm 10\%$ within a month; 67.6% of these respondents only spot check conditions or do not monitor at all.

Taken as a whole, these initial findings strongly suggest that additional environmental monitoring is needed to determine the actual conditions occurring in storage areas; this will need to be confirmed through the full survey. To provide stable conditions that increase the lifespan of their collections, institutions need concrete data to share with facilities managers—as evidence that improvement is needed, as a starting point for deciding what changes to make, and as a way to monitor the results of those changes.

The test survey institutions were also asked about light control in both storage and exhibition/use areas. In both cases, the largest percentage reported that there was no control of light exposure (Figures 15 and 16). Overall, respondents were more likely to have light protection in storage areas than in exhibit areas. Public libraries were least likely to have light protection for collections, with 80% having none in storage areas and 73.3% having none in exhibit/use areas. Museums were the most likely to have protection for collections in storage, on exhibit, and during use, with 60% reporting that most or all are protected in storage and 50% reporting that most or all are protected during exhibition and use. These

findings are based on small test populations, however, and will need to be confirmed through the full survey.

Figure 15: Control of Light Exposure in Storage

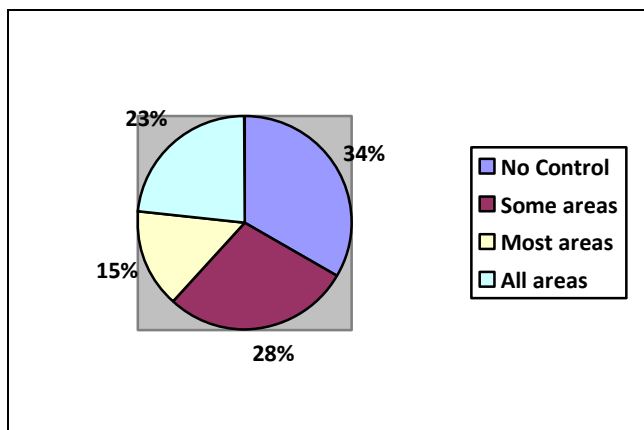
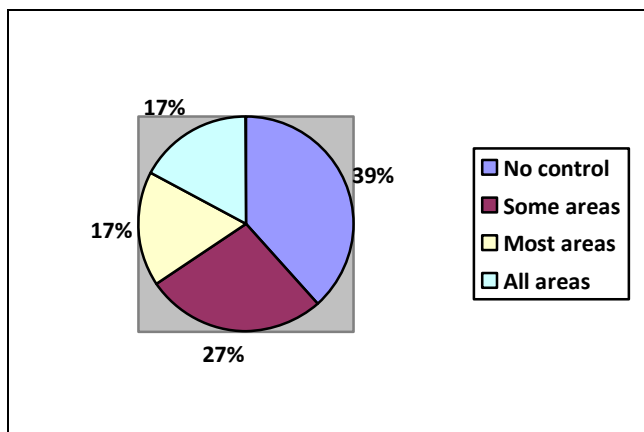


Figure 6: Control of Light Exposure for Exhibit/Use



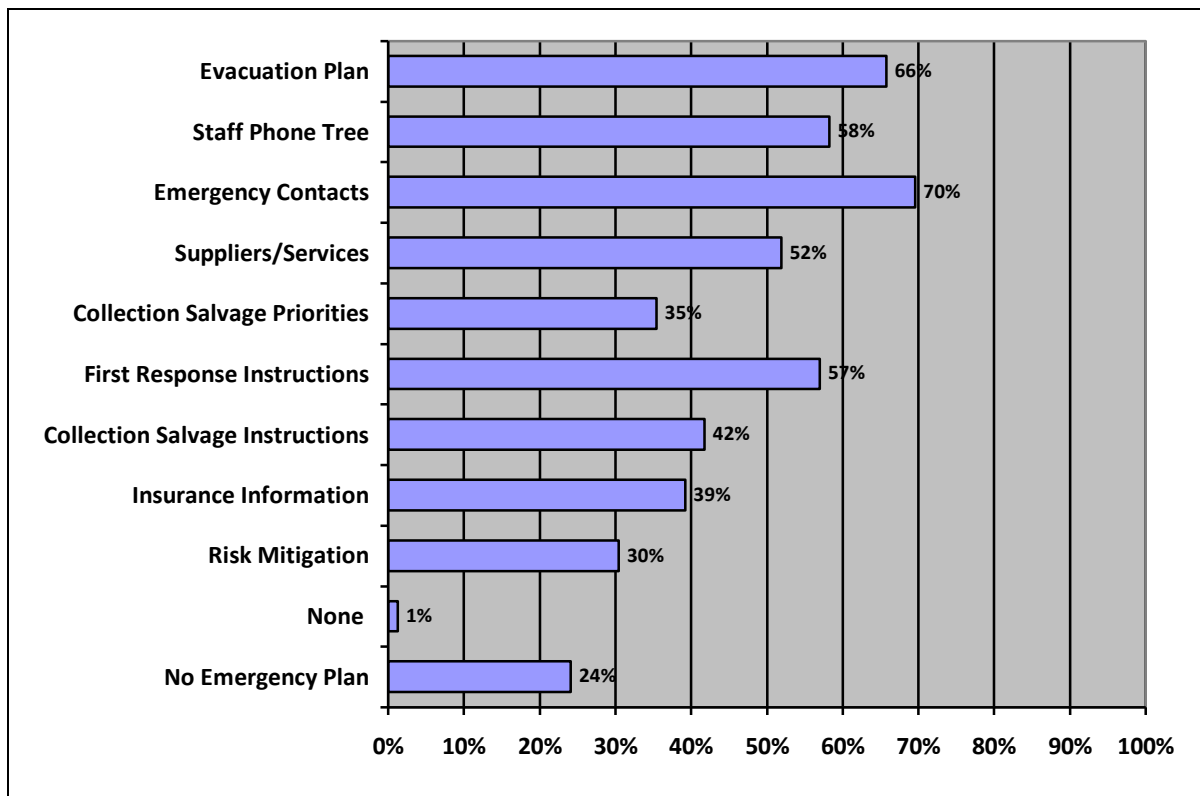
The test survey institutions were also asked to indicate what their pest management program includes, selecting all answers that applied. Only 11.1% indicated that they undertook no pest management activities. A majority (75.3%) noted that they carry out routine maintenance and housekeeping. Almost half of the respondents (49.4%) examine incoming collections for evidence of pests. Preventive pest management techniques (elimination of water/food sources, etc.) are practiced by 44.4% of respondents. Routine pest monitoring using traps is done by 28.4%. The fact that close to half of respondents (45.7%) use pesticides preventively (e.g., periodic treatment whether or not there are signs of an infestation) is of some concern, since such pesticides can be a hazard to collections and staff and standard preservation practice recommends them as a last resort. An additional 34.6% of respondents report using pesticides to treat specific infestations. A significant number (19.8%), however, have used non-chemical methods to treat infestations.

Emergency Planning

The test survey found that 73.8% of respondents do not have an emergency plan that includes the collections and has been updated (or reviewed or revised) in the last 12 months, a finding that is troubling, given the importance of protecting collections from emergencies and disasters. In addition, of those respondents who indicated that they have some type of written emergency plan (updated or not), 70.0% have held no training sessions or exercises for staff members to educate them about the plan. Of those respondents who have an updated plan, 57.1% have done no training and 42.9% hold training sessions once a year or less frequently. No one holds training sessions more often than once a year. A little over half of respondents (57.6%) have a supply kit for responding to minor or significant damage to collections. If this data is confirmed through the full survey, it is clear that assistance with emergency planning and staff training is badly needed to protect collections from damage.

Respondents were asked to indicate what components are included in their emergency plan. The largest proportions of respondents have emergency contact information, building evacuation plans, and staff phone trees, none of which are necessarily specifically related to collections salvage. More than half do have instructions for first response to collections emergencies, as well as suppliers and services lists. Less than half of respondents have instructions for collections salvage, collection salvage priorities, and information about insurance coverage. About a quarter of all respondents have either no plan at all or none of the components listed. Figure 17 summarizes these results.

Figure 7: Components Included in Emergency Plans



Institutions were also asked about backup of both essential records and unique electronic data; again, if this data is confirmed in the full survey, the lack of regular backup of these materials is a serious concern. For essential records, 65.0% of the respondents either have no copies or do not store the copies off-site at a location that is more than 25 miles away. An additional 28.8% have some, but not all, essential records stored off-site. Of those respondents that reported holding unique electronic data, 49.3% do not store emergency backups of that data off-site at a location that is more than 25 miles away. An additional 30% store some backups off-site, but not all. Only 17.5% have all unique electronic data properly backed up. See Figures 18 and 19.

Figure 8: Copies of Essential Records Stored Offsite > 25 Miles

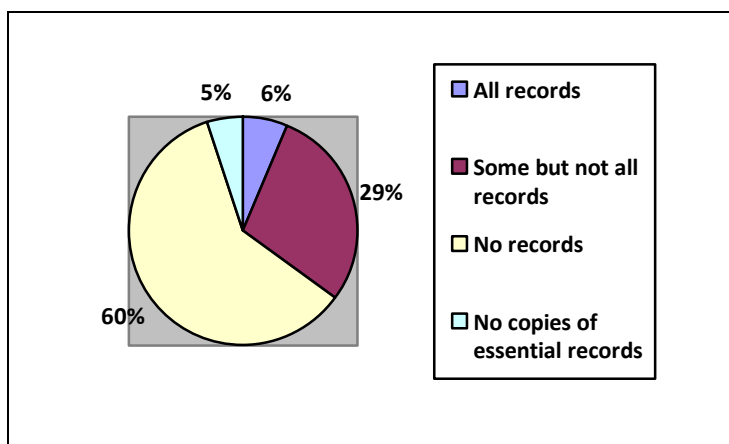
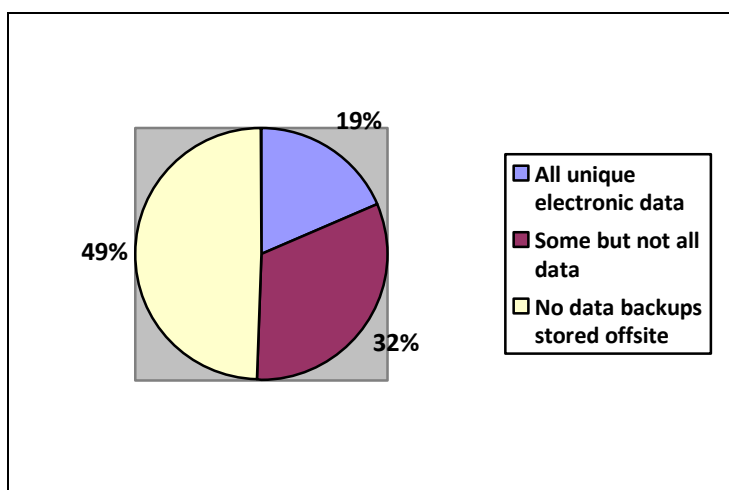


Figure 9: Emergency Backups of Unique Electronic Data Stored Offsite > 25 Miles



A large percentage of the test survey respondents (81.3%) have an automated fire detection system. A little over half (53.8%) also have an automated fire suppression system, and have these systems monitored 24 hours a day. A slightly lower percentage (67.6%) have an automated security system that

is monitored 24 hours a day by an off-site service provider, but 22.5% reported having no security measures at all.

There have been significant efforts to improve emergency preparedness for cultural institutions in Georgia in recent years. The test survey findings seem to indicate that this is reflected in the number of institutions reporting that they have fire and security protection and some type of emergency plan (whether it is updated or not), as well as in the components included in those plans. However, these initial findings also indicate that there is more work to be done, particularly in the area of updating emergency plans and improving staff training. Both of these issues are crucial to effective emergency response.

Collections Care

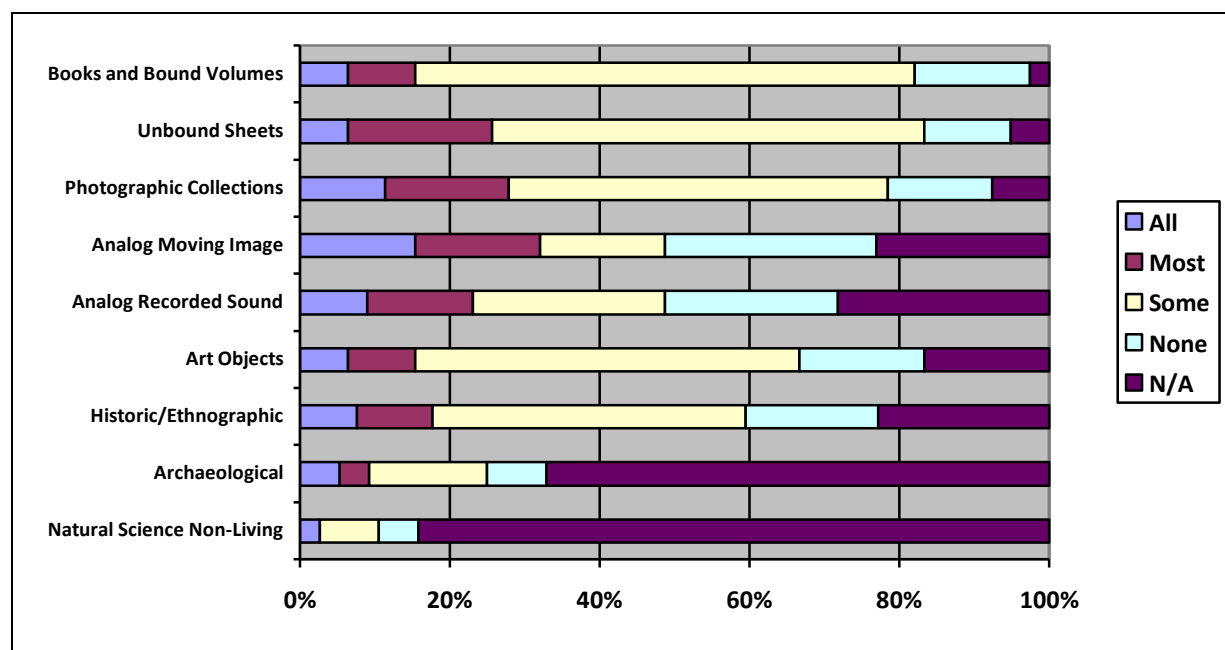
Collections care encompasses a number of topics, ranging from storage space, furniture, and enclosures, to exhibition, handling and use, collections cleaning, conservation treatment, and reformatting.

Among the institutions surveyed, 33.8% report having storage space to accommodate 3-5 years of collection growth. Another 30.0% have enough space for 1-2 years of growth, while 13.8% can accommodate 6-10 years of growth. Almost a quarter of the respondents, however, (22.5%) do not have any space for future collection growth.

Sufficient appropriate storage furniture also appears to be a need among the test survey respondents; 50.1% reported that they do not have sufficient furniture for any, or only for some, of their collections. Improved exhibit mounts/supports and exhibit cases are also needed; 52.1% of the respondents do not have materials and cases that meet preservation requirements for any, or only for some, of their collections. 47.9% have appropriate materials and cases for most or all of their collections.

The test survey respondents were also asked to indicate what collections they felt were in need of rehousing using preservation quality materials (Figure 20).

Figure 20: Collections in Need of Rehousing



Respondents were asked about routine measures such as instructing patrons in proper handling and use of collections, and cleaning collections. While 63.8% provide verbal instructions in handling and use, only 27.5% provide written instructions, and 8.7% provide no instructions. Overall, cleaning of stacks, exhibits, or collections is not done routinely by the majority of respondents. Stack cleaning is done by 37.7%, exhibit cleaning is done by 45.0%, and cleaning of collections is done by 22.2%.

The test survey institutions were also asked about conservation treatment of collections, both preventive conservation (defined as basic repair and stabilization) and more complex treatment by a professional conservator. Overall, 87.7% of respondents are carrying out preventive conservation activities, and 50.6% have collections treated by a professional conservator. Of those utilizing professional conservation treatment, 17.1% have collections treated by a professional conservator in house, while 83.0% use an external service provider.

Of those test survey institutions that are doing basic repair or stabilization, 78.9% report that such preventive conservation is done in-house by institution staff, while 21.1% report that it is done by an external service provider. The large percentage of institutions carrying out repair and stabilization in-house is a potential concern, since it is unclear what exactly is being done, and there is the possibility of unintended damage to collections if proper procedures are not followed. Given the test survey's finding that a large number of institutions have one or fewer FTEs carrying out preservation activities, it is unlikely that training for this in-house work is adequate. Additional information will need to be gathered in the full survey; it would be a good idea to separate out basic repair and stabilization in a revised

question, so that data can be gathered about how many institutions are doing each of them, as well as to add a question asking about training.

A large proportion of the test survey respondents reformat collections for preservation. Overall, 61.7% reformat collections through preservation photocopying, and 65.4% use digital scanning to reformat collections for preservation. Only 29.6% report microfilming collections for preservation purposes, however. Although an average of 73.7% of respondents report holding some type of analog or digital moving image or recorded sound collections (this average is raised to 78.0% if photographic collections are included), only 39.5% report copying AV materials or migrating them to new formats.

The data indicated that a majority of the test survey respondents are doing preservation photocopying and digital scanning in-house. Of those who are photocopying collections for preservation, 98.0% are using institution staff. Of those scanning collections for preservation, 92.5% are using institution staff. In contrast, 83.3% of those who microfilm collections for preservation are using an external service provider. The finding that such a large percentage of digital scanning for preservation purposes is being undertaken by in-house staff is of some concern, since it is not known what procedures are being followed or what training is being provided for these staff members. The full survey should include questions that solicit this information. If the full survey indicates that in-house digital scanning for preservation is being carried out without sufficient training, this would be a high priority need.

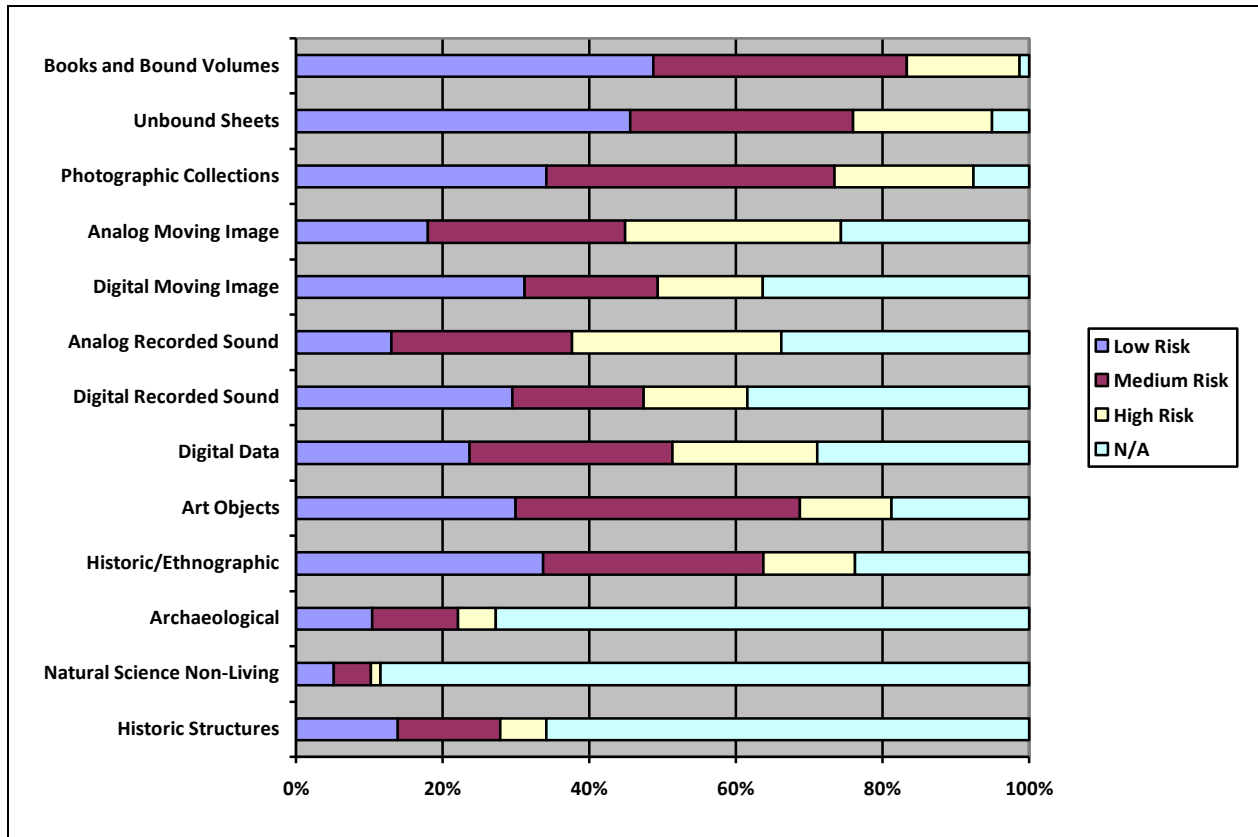
Increasingly, institutional collections include many types of digital content (including “born digital” data as well as scanned materials) that must be properly maintained if they are to be accessible over time. A majority of the test survey respondents (60.8%) report that their collections include such digital content. When asked if their institution has a responsibility to preserve this digital content over the long term, 66.7% of those with digital collections said that they do, while 19.3% said they do not and 14.0% said they do not know.

When asked if they had made arrangements to maintain access to digital content over time, 50.0% of those with responsibility for digital collections said they have made arrangements through in-house storage. Of the rest, 30.4% have made no arrangements, 4.3% do not know if arrangements have been made, 13.0% store digital collections off-site with a commercial service provider, and 6.5% use an off-site provider that meets criteria for a trusted digital repository.

Finally, the test survey institutions were asked to indicate what collections they believed were at risk in their institution (see Figure 21). While no one category of collection was clearly at high risk, the responses indicated that analog moving image collections (39.7% at high risk) and analog recorded sound collections (43.1% at high risk) are of the most concern. Similar digital collections were of less concern (22.4% of digital moving image collections and 22.9% of digital recorded sound collections were at high risk). Responses indicated that about half of institutions feel that their books, bound volumes, and unbound sheets are at low risk. A similar proportion (42.0%) feel that their photographic collections are at medium risk. Almost half of respondents who hold art collections reported that art objects are at medium risk, and about one third of those who hold historic and ethnographic collections reported that

those are at medium risk. Once definitive data has been gathered through the full survey, training and other activities targeted toward specific types of collections may be needed.

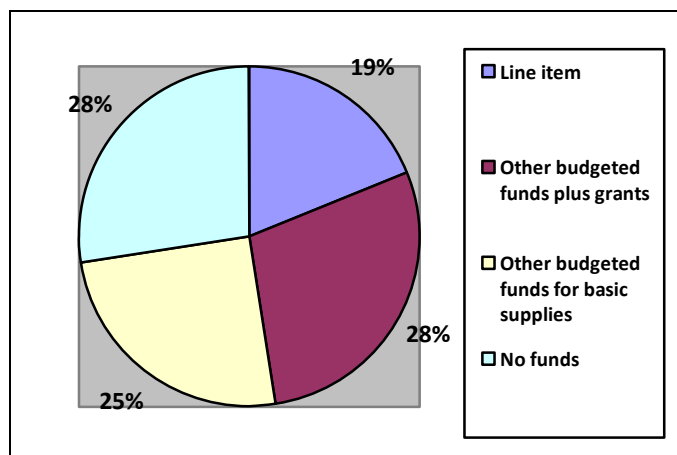
Figure 10: Collections at Risk



Expenditures and Funding

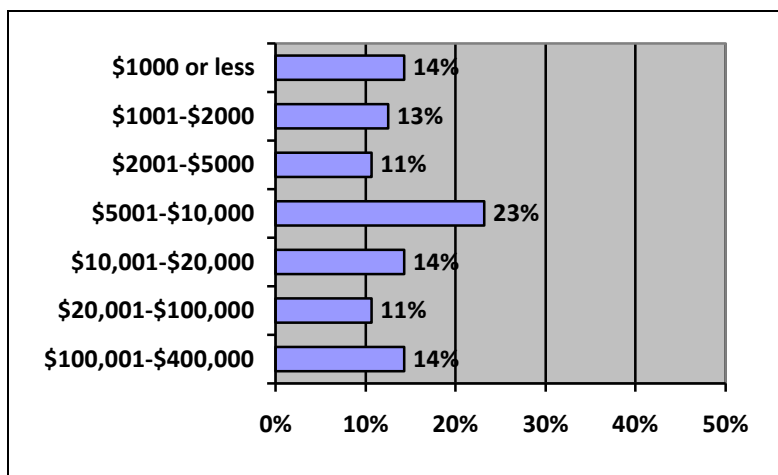
It is difficult to carry out a systematic preservation and collections care program without resources and funding. The test survey institutions were asked whether or not they had funds specifically allocated for conservation/preservation activities in their annual budget. Results were split fairly evenly among the choices (Figure 22). About a quarter of respondents have no funds allocated for preservation at all, and another quarter have no line-item but use other budgeted funds for basic supplies. About one third also have no line item but use other budgeted funds and supplement with occasional grant funding. The remainder of the respondents (just under 20%) do have a line item for conservation/preservation activities and have more active grant funding for special projects. While it is good that a majority of the test survey institutions are finding some funding at least for basic preservation activities (and in some cases more), a systematic preservation program cannot be sustained over time without a dependable ongoing source of funding (e.g., a preservation/conservation line item). If these initial findings are confirmed in the full survey, there is a clear need for assistance in advocating for stable and consistent preservation funding within institutions.

Figure 22: Funds Allocated for Conservation/Preservation Activities



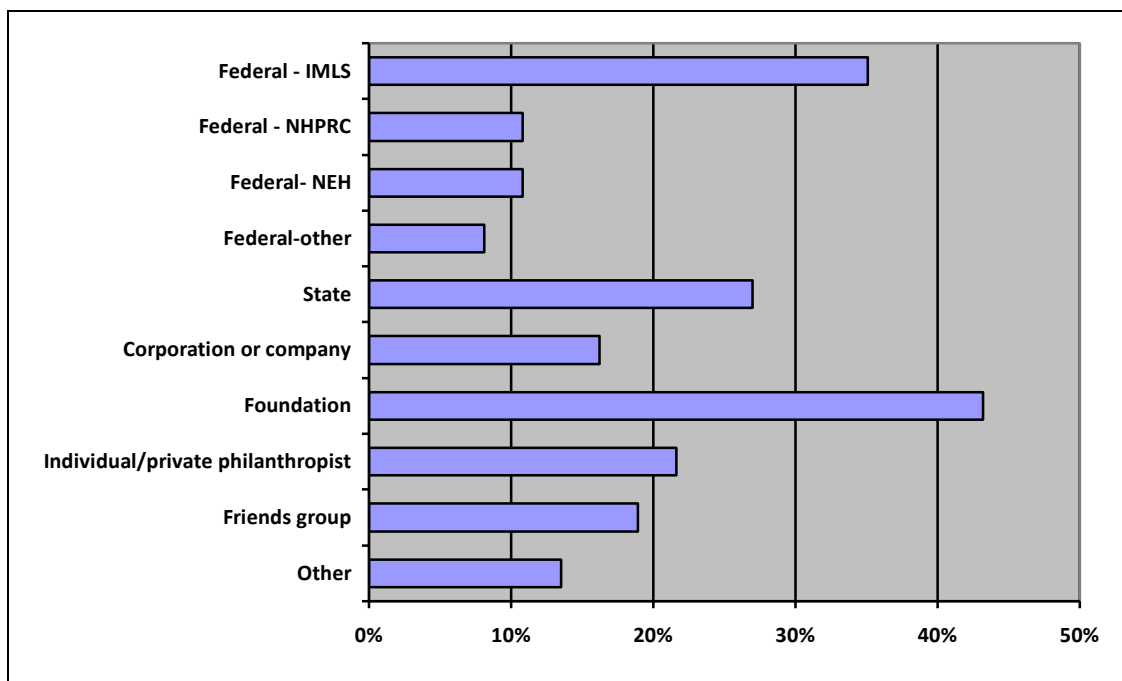
To get a sense of actual funding amounts for preservation activities, the test survey respondents were asked to enter their annual budget for conservation/preservation in the most recently completed fiscal year (for virtually all of the respondents this was FY2008, with four FY2007 and one FY2006 out of 73 responses). The respondents have an extremely wide range of budgets, with the smallest being \$50 and the highest \$400,000. Three respondents entered Not Applicable, Don't Know, or Private. Fourteen respondents reported having no budget for conservation/preservation. Of the remaining respondents, 60.7% have a preservation budget of \$10,000 or less, 25.0% have a budget between \$10,000 and \$100,000, and 14.3% have a budget between \$100,000 and \$400,000 (Figure 23).

Figure 23: Preservation Budget in Most Recent Fiscal Year



The test survey respondents were also asked whether they had applied for a conservation/preservation related grant in the last three years. The majority (53.2%) have not, but those who have applied were awarded grants by a wide range of funders (Figure 19). Of those who received grant funding for conservation/preservation activities within the last three years, the largest percentages (43.2% and 35.1%, respectively) received funding from a foundation or from the Institute of Museum and Library Services (IMLS). Overall, 64.8% of respondents who received conservation/preservation funding received it through a federal grant. Additional sources of funding are noted in Figure 24.

Figure 24: Grant Funders for Conservation/Preservation



A number of factors influenced the decision of the respondents not to apply for a conservation/preservation related grant. More than half (59.6%) of those who had not applied for a grant cited a lack of staff time or expertise to complete the application or administer the project. Others noted that additional project planning or preparation is necessary before requesting grant funds (40.4%), they are not aware of appropriate funding sources (31.9%), they had applied for grants in the past but been unsuccessful (10.6%), conservation/preservation is not an institutional priority (6.4%), and/or they currently have sufficient sources of funding (4.3%). If this data is confirmed through the full survey, activities to raise awareness about potential funding sources and train staff in completing applications and administering grant projects will be needed.

Advocacy and Training

Raising awareness of preservation and collections care issues is very important to the success of a preservation program. This may take the form of promoting awareness among donors, trustees, friends' groups, or the general public—or it may involve training staff members in proper preservation and collections care techniques.

The test survey respondents were asked whether and how they promote awareness to those outside their institution, and to upper administration, donors, and trustees. More than half of respondents (55.0%) report that they educate donors and/or trustees through activities like tours or demonstrations. Almost half (47.5%) educate members' or friends' groups about preservation through educational programming or printed materials. A similar number (40.5%) educate the public through exhibitions or other programs. A high percentage of the test survey respondents (73.4%) serve as a source for conservation/preservation information for the public. A smaller number use conservation/preservation as a strategy for earned income (3.8%) or feature preservation activities on a web site (19.2%).

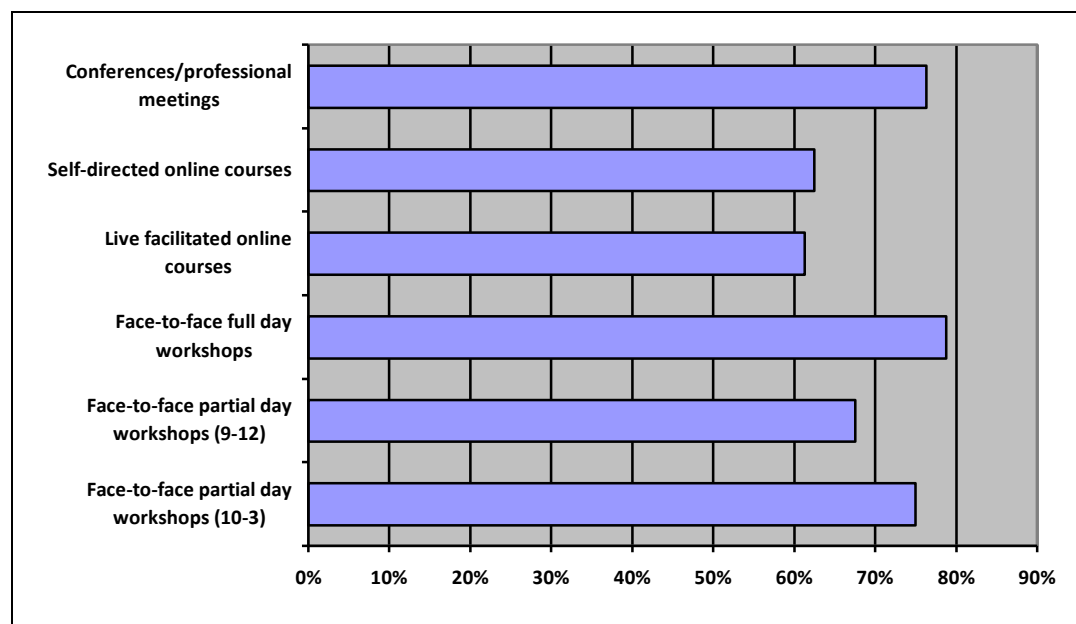
The survey asked respondents to indicate what resources they currently use to learn more about preservation/conservation, to determine how best to convey information on the state level in future. They were permitted to select all that apply, and the result was that although preservation web sites, books, and articles were the most popular by a small margin, many respondents checked all of the possible choices. To collect more useful data, the full survey should ask recipients to rate their preferences for sources of information.

Institutions were also asked whether their institutional budget typically includes funding for staff attendance at training sessions/workshops/conferences on specific preservation/conservation topics. Funding is readily available with no limitations for only 1.3% of the test survey respondents. Funding is occasionally available for 37.5%, and funding is available but limited based on the yearly budget for 42.5%. A significant number of those who responded have attended face-to-face preservation training in the past, either full day (72.2%), partial day (54.4%), or 1-2 hours (32.9%). Fewer have attended online

training, whether full-day (12.7%), partial day (17.7%), or 1-2 hours (35.4%). Because respondents were allowed to check all that apply, some have attended both types of training.

The test survey respondents were also asked what types of preservation/conservation training their institution would be interested in pursuing in future (Figure 25). The results were fairly evenly divided, perhaps because respondents were allowed to select all that apply. Face-to-face full day workshops received the highest percentage of responses (78.8%), closely followed by conferences and professional meetings (76.3%), face-to-face partial day workshops from 10am to 3pm (75.0%), and face-to-face partial day workshops from 9am to 12pm (67.5%). Online courses also received high percentages, at 62.5% for self-directed online courses and 61.3% for live facilitated online courses. To determine how best to present preservation training in future, the full survey should ask recipients to rate their preferences for types of training.

Figure 25: Preferred Types of Future Conservation/Preservation Training



The final question of the HCI test survey asked respondents to rate their institution's three highest preservation/conservation needs from a list of 20 choices (Figure 26). The highest percentage of respondents (16.3%) rated funding for preservation as their first priority; the next highest percentage (11.3%) chose an emergency plan. For second priority, the highest number of respondents (11.3% for each) chose a prioritized long-range preservation plan and additional staffing; an emergency plan and funding for preservation received the next highest percentages (8.8% for each). For third priority, the highest percentage of respondents (12.5%) chose an emergency plan; the next highest percentage (11.3%) chose additional storage space. Overall, these numbers indicate that funding for preservation, long-range planning, staffing for preservation, emergency planning, and storage space are all perceived

as priorities for those who responded to the test survey. It is interesting to note that several needs identified in the test survey, including environmental control and general preservation planning assessments, were not rated as high priorities by respondents. If this is confirmed through the full survey, it suggests that an effort to raise awareness of the importance of these issues may be needed.

Figure 26: Highest Preservation/Conservation Needs

Preservation/Conservation Need	First Priority	Second Priority	Third Priority
Audiovisual collections, preservation of	10.0% (8)	1.3% (1)	2.5% (2)
Conservation treatment	6.3% (5)	7.5% (6)	2.5% (2)
Digital collections, preservation of	1.3% (1)	6.3% (5)	2.5% (2)
Emergency plan	11.3% (9)	8.8% (7)	12.5% (10)
Environmental controls	6.3% (5)	3.8% (3)	2.5% (2)
Funding for preservation	16.3% (13)	8.8% (7)	10.0% (8)
Integrated pest management	0.0% (0)	1.3% (1)	1.3% (1)
Light control	0.0% (0)	0.0% (0)	1.3% (1)
Prioritized long-range preservation plan	2.5% (2)	11.3% (9)	11.3% (9)
Rehousing of collections	2.5% (2)	3.8% (3)	8.8% (7)
Reformatting of paper collections	2.5% (2)	1.3% (1)	3.8% (3)
Security improvements	1.3% (1)	2.5% (2)	1.3% (1)
Staff training	6.3% (5)	7.5% (6)	3.8% (3)
Staffing, additional	7.5% (6)	11.3% (9)	5.0% (4)
Storage furniture, additional	2.5% (2)	5.0% (4)	2.5% (2)
Storage space, additional	13.8% (11)	7.5% (6)	11.3% (9)
Storage space, off site	1.3% (1)	2.5% (2)	3.8% (3)
Storage space, renovated	1.3% (1)	3.8% (3)	2.5% (2)
Survey(s), collection condition	5.0% (4)	2.5% (2)	6.3% (5)
Survey, general preservation planning	2.5% (2)	3.8% (3)	5.0% (4)

CONCLUSIONS AND FUTURE DIRECTIONS

The HCI test survey provided initial findings about the current state of collections care in Georgia and food for thought regarding the direction of future statewide collections care activities. The full survey will gather more definitive information, but it is expected that many of the general issues identified in the test survey will be confirmed through the full survey.

Overview of Identified Needs

Intellectual Control. Initial findings showed a need for additional cataloging/processing of collections, and for making collection records available electronically.

Preservation Management. The test survey results showed a need for general preservation needs assessments, implementing needs assessment recommendations, long-range preservation planning, additional staffing for conservation/preservation (this relates to expenditures and funding, below, since hiring staff requires funding), and also a potential need for training in conservation/preservation procedures for staff with multiple additional responsibilities.

Environment. The test survey identified a need to improve environmental monitoring in collections storage areas. Initial findings indicated that the information institutions report about environmental conditions in their storage areas is not backed up by actual monitoring of conditions (e.g., institutions are not actually using monitoring instruments). If the full survey confirms that relatively few institutions are monitoring their storage areas routinely, this will need to be addressed so that actual environmental conditions can be determined. Secondary needs identified in the initial findings were additional light protection for collections and an increased awareness of proper pest management techniques.

Emergency Planning. Although more than half of the test survey respondents reported having an emergency plan that covers the collections, few of them have updated their plan in the last 12 months, and even fewer have trained staff to use it. If this is confirmed in the full survey, assistance in writing and updating an emergency plan, and training staff to use it, will be high priority needs. Respondents were not asked about their working relationships with FEMA or with their local emergency management agencies; this question should be asked in the full survey. Raising awareness of the importance of emergency backups for essential records and unique electronic data also emerged as a need to be confirmed through the full survey.

Collections Care. A need for additional information about in-house collections stabilization and repair practices emerged in the test survey, along with a potential need for training in proper procedures for stabilization and repair. Similar issues emerged for in-house digitization; a large proportion of the test survey respondents reported doing it, but it is unclear what exactly is being done and whether those doing it are properly trained. These potential concerns should be investigated further through additional questions in the full survey. Training and awareness may also be needed for housekeeping and pest management, exhibition practices, and working with contract conservators. For specific collection types, preservation of photographic materials and

specifically analog moving image and recorded sound collections, was of concern to survey respondents; again, more definitive data will be gathered through the full survey.

Expenditures and Funding. Test survey respondents reported a need for assistance with grant writing, grant management, and grant administration; those who have not applied for funding cited a lack of time and expertise. The initial findings also indicated a need for stable and consistent funding for conservation/preservation activities.

Advocacy and Training. Responses to the questions in this section showed that some of the test survey institutions are making efforts to advocate for preservation/conservation. It is interesting to note that a large majority of the test survey respondents are acting as a source for conservation/preservation information to the public as well as caring for their own collections. Very few have funding readily available for training, and the survey overall indicated a number of areas in which training may be needed. More information is needed from the full survey to determine what types of training are most preferred, and how much respondents would be willing to pay for training.

Not surprisingly, the initial findings of the HCI test survey indicate a wide variety of collections care and preservation needs. Additional funding, staffing, and storage space were among the three highest priorities noted by the respondents themselves, along with a prioritized preservation plan and an emergency plan. The full survey will gather more definitive information that can be used to refine and further develop future implementation activities.

Overall needs that emerged in the test survey:

- training in specific conservation/preservation procedures and techniques,
- planning for future preservation activities and potential emergencies, and
- increasing monetary and other resources for collections care and preservation/conservation.

Directions for Implementation

The Georgia Archives plans to apply for an implementation grant from IMLS in Fall 2009 to continue the work begun with the HCI test survey. Based on the initial findings of the test survey, the project staff has identified goals, priorities, and potential activities for this implementation process.

Goals

1. Raising awareness of the importance of conservation/preservation
2. Improving collections care and preservation
3. Sustaining collections care and preservation activities
4. Measuring progress over time

Priorities

- The stair-step assessment tool and state-wide survey
 - Further development
 - Ongoing maintenance
- Training initiatives
 - Targeting training to the stair-steps
 - Identifying/addressing highest priority training needs
- Emergency preparedness
- On-site interaction with institutions
- Fostering regional cooperation
- Mentoring

Potential Activities to Further Goals/Priorities (Phase 1)

- **Hire a temporary grant-funded state preservation officer to initiate and develop the programs in Phase 1.** Once established, many of these programs should be able to continue with less funding and with supervision by preservation personnel at the Georgia Archives.
- **Conduct the revised HCI Survey and Stair-Step Assessment Tool statewide, using a more flexible program than Survey Monkey, and automating the stair-step and report-generating components.** This activity contributes to all four goals, but this is the primary activity that furthers Goal 4. It will make institutions aware of their needs, provide them with basic preservation information, gather definitive information for targeting future training and other preservation activities statewide, and facilitate measurement of progress over time.
- **Add a layer of cultural institutions to the statewide GIS systems (NAHGRIS).** This addresses Goals 1 and 2. It will improve emergency preparedness and has the potential to make institutions more identifiable and accessible.
- **Plan and design the curriculum for a Preservation Institute.** This addresses Goals 1, 2, and 3, and is envisioned as a four or five day course offered in five regions of the state. The curriculum will address emergency preparedness and other training needs identified through the full survey. These might include environmental control and monitoring, collections stabilization and repair, housekeeping and pest management, exhibition practices, in-house digitization, grant writing and administration, and preservation of audiovisual collections.
- **Hold Town Hall style meetings on a regional basis.** This addresses Goals 1, 2, and 3 by providing a forum for institutions to gain awareness and information about collections care and preservation and to network with other institutions to develop ongoing cooperative relationships.
- **Monitor the production and distribution of the best practices manual for collections care already in process through a SNAP grant.** This project addresses Goal 2, and is planned to begin in January 2010. The manual will be updated and distributed to Georgia institutions (300 via CD and 40 via print).

Potential Activities to Further Goals/Priorities (Phase 2)

- **Conduct the Preservation Institute in five regions in Georgia.** Once the curriculum is developed, the topics addressed can be flexible as needs develop (determined as institutions take/retake the stair-step assessment/survey), and the program could be offered multiple times in future with less funding. The Institute would also contribute to mentoring/regional cooperation, either informally or formally. For example, Level 3 and 4 institutions could be identified and offered free attendance if they agree to act as mentors to others, or a regional emergency planning network could meet as a follow-up.

- **Conduct site visits for individual institutions.** This addresses Goals 1 and 2. Such visits would build on the initial report generated by the stair-step assessment tool and address general areas of need identified through the full HCI survey. Institutions who attended an Institute could have first priority for a site visit. It might also be possible to combine half-day site visits with half-day training program(s) for a group.
- **Develop regional emergency planning networks.** This addresses Goals 2 and 3. Such networks could take various forms, and could be initiated among institutions attending an Institute. Activities might include establishing emergency supply caches around the state, holding cooperative emergency drills/exercises or other training, working to build relationships with local and state emergency managers, and/or assisting with the preparation of institutional or regional emergency plans.
- **Identify and cultivate mentor institutions in 5 regions** (collapse from 15 regions). This addresses Goals 2 and 3. Fosters cooperation within regions. This could also be initiated among institutions that attend an Institute. Stair-step results could be used to identify Step 3 or 4 institutions that might act as mentors.
- **Establish a traveling exhibit on collections care.** This addresses Goals 1 and 2. Such an exhibit would raise awareness about collections care and preservation issues throughout the state, and might include a component that could be customized by each venue to make the exhibit more “personal”. This component could be moved to Phase 1, depending on the cost and the amount of funding available.

APPENDIX A: Georgia HCI Test Survey Questionnaire

Introduction

The Georgia Healthy Collections Initiative Survey is an important opportunity for cultural institutions in Georgia to identify their collections care needs and to help shape future statewide activities to meet these needs.

Why Participate?

- We hope to apply for implementation grants in future to assist Georgia cultural institutions in meeting their preservation needs. The best way to guarantee that your needs are represented is to complete the questionnaire.
- You will see your preservation needs in the context of those of your peers in a form that you can use as a tool for raising institutional awareness and promoting long-range planning for the care of collections.
- Your participation will show your support for IMLS and other federal agencies that are working on your behalf to meet preservation needs nationwide.

Who Should Participate?

- Any institution holding permanent cultural collections that are not replaceable should participate. Complete the questionnaire for collections that are a permanent part of your holdings or for which you have accepted preservation responsibility.
- Do not include living collections in your responses, even if they are a part of your institution's preservation responsibilities.
- If you do not have a parent institution, include information on all collections at your institution.
- You may have a parent institution, sometimes with intermediate collecting entities in-between. Before filling out the survey, **DECIDE WHAT CONSTITUTES THE "INSTITUTION"** (e.g., the collecting entity) **FOR THE PURPOSES OF THIS SURVEY.** Make whatever decision seems appropriate, and then fill out the survey consistently, **FOR THAT INSTITUTION ONLY.** In general, distinct collecting entities should be considered separate institutions in this survey, particularly if they are housed in separate buildings.
 - **EXAMPLE 1:** The "institution" might be the Walter J. Brown Media Archives, which is part of the Walter J. Brown Media Archives and Peabody Awards Collection, which is in turn part of the University of Georgia Libraries, whose parent institution is the University of Georgia. Alternatively, the Walter J. Brown

Media Archives and Peabody Awards Collection might be reported as a single “institution” for the purposes of the survey if they were housed in the same building or if they had many common issues.

- EXAMPLE 2: The Georgia Division of Archives and History is the parent institution to both the Georgia Archives and the Georgia Capitol Museum; these two collecting entities would each fill out a separate survey.

How to Complete the Survey

- You must complete the survey in one session; you cannot save your answers and return later. If you exit the survey before finishing, your survey will be incomplete. Please print the survey in PDF format and do any necessary research BEFORE you begin.
- To complete the survey, click on the appropriate box or type the requested information in the space provided.
- We estimate that it should take you about 30 minutes to complete the survey.
- For questions that ask for a number or dollar amount, please provide your best estimate. Remember, these figures will constitute a state profile, so even a rough estimate is useful.
- Do not leave questions blank. Some questions are required, and you will be prompted to respond if you do not answer them. If there are questions that you cannot answer, select “Don’t Know” if this option is available. If there are questions that are not applicable to your institution, select “Not Applicable” if that choice is available.

Confidentiality

We will keep your individual responses completely confidential. Only the aggregate data will be reported; your individual responses will never be published or identified.

Institutional Information

1. Provide the following identifying information about your institution. Before beginning the survey, you must decide what collecting entity will be considered the “institution” for the purposes of this survey. This may be a single institution, or there might be two or more collecting entities within a parent institution, each of which would fill out a separate survey (for example, a library and a museum within the same university). See the Instructions for additional guidance.

Institution Name:

Address:

Address 2:

City/Town:

State:

Zip/Postal Code:

Institutional Email Address:

Phone number:

2. Name of parent institution, if applicable: _____

3. Does your institution have a Web site?

☐ a. Yes

☐ b. No

4. If yes, what is the Web site address? _____

Description of Collecting or Holding Institution

5. For purposes of comparing you with your peers, which of the following most closely describes your primary function or service? (select one)

☐ Archives

☐ Public library special collection (e.g., genealogy, local history room)

☐ Academic library special collection

☐ Academic library

☐ Independent research library

☐ Special library

☐ Historical society

☐ Historic house/site

☐ History museum

☐ Art museum (including art gallery, art center, or arts organization)

☐ Children's/youth museum

☐ Natural history museum

☐ Science/technology museum

☐ General museum (collection represents 2 or more disciplines)

☐ Archaeological repository or research collection

☐ Agency or university department with scientific specimen/artifact collection

☐ Arboretum or botanical garden

☐ Aquarium

☐ Nature center

☐ Planetarium

☐ Zoo

☐ Other, please specify: _____

6. Which additional functions or services do you provide? (select all that apply)

- ☐ Archives
- ☐ Library
- ☐ Historical society
- ☐ Historic house/site
- ☐ Museum (including art gallery, art center, or arts organization)
- ☐ Archaeological repository or research collection
- ☐ Agency or university department with scientific specimen/artifact collection
- ☐ Aquarium, Zoo, Arboretum, Botanical Garden, Nature Center, or Planetarium
- ☐ Other, please specify: _____
- ☐ None

7. Which of the following most closely describes your institution's governance? (select one)

- ☐ Private college, university or other academic entity
- ☐ Public college, university or other academic entity/Board of Regents
- ☐ Non-profit, non-governmental organization or foundation
- ☐ Corporate or for-profit organization
- ☐ Federal
- ☐ State
- ☐ Local (county or municipal)
- ☐ Tribal

8. Does your institution have Internet access?

- ☐ Yes
- ☐ No

9. How many staff are currently employed in your institution? Include all staff, not just those for preservation. Do not express in full-time equivalents (FTEs).

	< 1	1-2	3-5	6-10	11-20	20-50	> 50	Don't Know
Full-time paid staff								
Part-time paid staff								
Full-time unpaid staff								
Part-time unpaid staff								

10. How many visitors or users did your institution serve last year? Choose “N/A” if you had no visitors or users in a category; choose “Don’t track” if you do not keep such records.

	N/A	Don’t track	1-50	51-100	101-500	501-1000	1001-3000	3001-5000	> 5000
On site									
Off site inquiries (e.g., reference questions via email, phone)									
Off site programs (e.g., traveling exhibitions, bookmobiles, educational programs)									

11. How much traffic did your institution’s web site receive last year? Choose “N/A” if your institution does not have a Web site; choose “Don’t track” if you do not maintain records of Web site traffic.

	N/A	Don’t track	1-1000	1001-10,000	10,001-100,000	100,001-500,000	500,001-1million	> 1million
Number of unique visitors to Web site								
Number of page hits on Web site								

12. Does your institution hold collections of the following types?

	Yes	No
Books and Bound Volumes (monographs, serials, newspapers, scrapbooks, albums, pamphlets)		
Unbound Sheets (archival records, manuscripts, maps, oversized items, ephemera, broadsides, philatelic and numismatic artifacts, other paper artifacts)		
Photographic Collections (microfilm, microfiche, photographic prints, negatives, slides, transparencies, daguerreotypes, ambrotypes, tintypes, glass plate negatives, lantern slides)		
Analog Moving Image Collections (motion picture film, video tape)		
Digital Moving Image Collections (laser disc, CD, DVD, minidisk)		
Analog Recorded Sound Collections (cylinder, phonodisc, cassette, open reel tape)		
Digital Recorded Sound Collections (DAT, CD, DVD, MP-3)		
Digital Data Collections (floppy discs, CD-R, DVD-R, data tape, online collections)		
Art Objects (paintings, prints, drawings, sculpture, decorative arts)		
Historic and Ethnographic Objects (textiles, ceramics, glass, ethnographic artifacts, metalwork, furniture, domestic artifacts, technological and agricultural artifacts, medical and scientific artifacts, transportation vehicles)		
Archaeological Collections		
Natural Science Non-Living Specimens (zoological, botanical, geological, paleontological, paleobotany specimens)		
Historic Structures		

13. Have your collections been cataloged (e.g., is there a research tool or finding aid that provides intellectual control over each collection through entries that may contain descriptive detail, including physical description, provenance, history, accession information, etc.)? (select one)

- ☐ No catalog
- ☐ Some collections cataloged
- ☐ Most, but not all, collections cataloged
- ☐ Complete catalog

14. Is your collection's CATALOG available electronically for staff and/or public use (for example, through a database such as Access, File Maker Pro, Archon, Archivist's Toolkit, Past Perfect, Voyager, PINES)? (select one)

- ☐ Yes, all catalog records are available electronically
- ☐ Yes, most catalog records are available electronically
- ☐ Yes, some catalog records are available electronically
- ☐ No
- ☐ Not applicable

15. Do you provide online access to the CONTENT of any of your collection holdings (e.g., online exhibition, interactive resources, digital art, digitally scanned photographs, documents, books, and other artifacts)? (select one)

- ☐ Yes
- ☐ No, but will have access within the next year
- ☐ No
- ☐ Don't know

Preservation Management

16. How does your institution's mission statement reflect preservation activities in your institution? (select the answer that best applies)

- ☐ No written mission statement
- ☐ The written mission statement does not include preservation, but there is a general awareness of preservation issues and/or a few basic preservation activities are undertaken.
- ☐ The written mission statement includes preservation, and various preservation activities are undertaken regularly as part of collections care.
- ☐ The written mission statement includes preservation, and a wide range of preservation activities are carried out systematically.

17. What preservation assessment and planning activities have been undertaken by your institution? (select the answer that best applies)

- ☐ None
- ☐ General awareness of preservation needs, but no formal planning
- ☐ A formal preservation planning survey of the entire institution has been conducted within the past five years (e.g., an assessment based on visual inspection of the collection and the areas where it is exhibited or held).
- ☐ A formal preservation planning survey of the entire institution has been conducted within the past five years, and actions have been taken to implement its recommendations.

18. Which of the following most closely describes your staffing for preservation/conservation? (select the answer that best applies)

- ☐ No staff person has responsibility for preservation activities
- ☐ Preservation responsibilities are assigned to various staff as needed, and/or conservation/preservation services are occasionally obtained through external provider(s)
- ☐ Preservation responsibilities are assigned to specific staff members and conservation/preservation services are periodically obtained through external provider(s)
- ☐ Preservation/conservation responsibilities are assigned/stated in job descriptions for specific staff members, and conservation/preservation services are regularly obtained through external provider(s)

19. Indicate the internal staff who perform conservation/preservation activities (e.g., the total amount of staff time spent on conservation/preservation in full-time equivalents).

Conservation/preservation activities may include some or all of the following: emergency planning, environmental monitoring/control, preservation planning, integrated pest management, light control, rehousing collections, reformatting paper collections, maintaining security, conservation treatment of collections, and preservation of AV or digital collections.

Please select an estimate from the ranges provided. If the number of FTE falls between possible responses, round to the nearest whole number. Include all workers who perform conservation/preservation activities whether full-time, part-time, seasonal, work study, interns, etc.

- ☐ 0 FTE
- ☐ Between 0 and 1 FTE
- ☐ 1-2 FTE
- ☐ 3-5 FTE
- ☐ 6-10 FTE
- ☐ More than 10 FTE
- ☐ Don't know

Environment

20. How does your institution use environmental controls to meet temperature and relative humidity specifications for the preservation of your collection? (select the answer that best applies for the area in which the majority of your collection is stored)

- ☐ No heating (or winter heating only), with no cooling or RH control
- ☐ Winter heating with some summer cooling and/or RH control (e.g., individual room air conditioners, stand alone dehumidifiers/humidifiers)
- ☐ Standard HVAC (heating, ventilating, and air-conditioning) system, with occasional additional RH control as needed (e.g., stand-alone dehumidifiers/humidifiers).
- ☐ Specialized HVAC system designed to provide both dehumidification in summer and humidification in winter

21. Does your environmental control equipment operate at the same settings 24 hours a day, 7 days a week? (select the answer that best applies for the area in which the majority of your collection is stored)

- ☐ There is no environmental control, or there is winter heating only (which may be turned off at night)
- ☐ Temperature control settings are altered frequently for human comfort and/or energy savings, AND/OR heat/air conditioning is turned off at night; RH control equipment may be run as needed
- ☐ Standard HVAC equipment operates 24 hours, 7 days a week, but settings may be altered occasionally; RH control equipment is run as needed
- ☐ Specialized HVAC equipment operates 24 hours, 7 days a week, and settings remain constant

22. Does your institution monitor temperature and RH? (select the answer that best applies to the area in which the majority of your collection is stored)

- ☐ No
- ☐ Yes, we spot-check environmental conditions (temperature and/or RH) occasionally using a portable instrument (e.g., thermometer, hygrometer, combination thermometer/hygrometer, min/max thermohygrometer)
- ☐ Yes, we record temperature and RH readings regularly using a portable spot-check instrument or a continuous recording instrument (e.g., hygrothermograph, datalogger)
- ☐ Yes, we record temperature and RH readings regularly using a portable spot-check instrument or a continuous recording instrument, AND we analyze these readings and modify conditions as needed

23. How does your institution control light exposure (visible and/or ultraviolet) in collection STORAGE areas? (Select the answer that best applies)

Light-saving controls minimize exposure of collections to visible light (shades, blinds, limiting exhibition time, timed lights, covers for exhibit cases, etc.). UV-filtering products protect collections from damage from ultraviolet light (sleeves for fluorescent bulbs, low-UV fluorescent bulbs, UV-filtering film or glass for windows, etc.)

- ☐ No control of light exposure
- ☐ Use of light-saving controls and/or UV-filtering products in some storage areas
- ☐ Use of light-saving controls and/or UV-filtering products in most storage areas
- ☐ Use of light-saving controls and/or UV-filtering products in all storage areas

24. How does your institution control light exposure (visible and/or ultraviolet) in EXHIBITION/USE areas? (Select the answer that best applies for the area in which the majority of your collection is exhibited or used)

- ☐ No control of light exposure
- ☐ Use of light-saving controls and/or UV-filtering products in some exhibit/use areas
- ☐ Use of light-saving controls and/or UV-filtering products in most exhibit/use areas
- ☐ Use of light-saving controls and/or UV-filtering products in all exhibit/use areas

25. Does the temperature fluctuate more than ± 10 degrees F within a month in your collection STORAGE areas?

- ☐ Yes
- ☐ No
- ☐ Don't know

26. Does the humidity fluctuate more than $\pm 10\%$ within a month in your collection STORAGE areas?

- ☐ Yes
- ☐ No
- ☐ Don't know

27. How does your institution control pollutants in collection STORAGE areas? (Select one; if conditions vary, answer for the area in which the majority of your collection is stored)

- ☐ No pollutant control
- ☐ No central HVAC, but individual units with filters (e.g., furnace, window a/c units)
- ☐ Central HVAC system with standard filters
- ☐ Central HVAC system with specialized filtration (e.g., multi-stage particulate filtration and/or gaseous filtration)

28. What does your institution's pest management program include? (Select all that apply, but if conditions vary within your institution, answer for the area in which the majority of your collection is stored)

- ☐ No pest management activities; limited housekeeping and maintenance.
- ☐ Routine maintenance and housekeeping
- ☐ Preventive pest management techniques (e.g., elimination of water and food sources, sealing windows and doors).
- ☐ Routine pest monitoring using traps
- ☐ Examination of incoming collections for pests
- ☐ Preventive use of pesticides (e.g., periodic treatment whether or not there are signs of infestation).
- ☐ Use of pesticides to treat specific infestations.
- ☐ Use of non-chemical methods to treat infestations (e.g., freezing).

Emergency Planning

29. Does your institution have a written emergency/disaster plan that includes the collection? (select one)

- ☐ Yes, it is updated every 12 months (or more frequently)
- ☐ Yes, but it has not been updated (or reviewed or revised) in the past 12 months
- ☐ No, but one is being developed
- ☐ No

30. If you have a written emergency/disaster plan, is your staff trained to carry it out? (select one)

- ☐ Have no written emergency plan
- ☐ Staff members have been given a copy of the plan, but no training sessions or exercise have been held
- ☐ Staff members have been trained to use the plan, and training sessions or exercises are held once per year or less frequently
- ☐ Staff members have been trained to use the plan, and training sessions or exercises are held more than once a year

31. What components are included in your written emergency/disaster plan? (select all that apply)

- ☐ Building evacuation plan
- ☐ Staff phone tree
- ☐ Emergency contact information (e.g., fire department, security company, facilities manager)

- ☐ Suppliers/services information (e.g., freezer storage, vacuum freeze drying)
- ☐ Collection salvage priorities
- ☐ Instructions for first response to common emergencies (e.g., fire, water)
- ☐ Instructions for collection salvage
- ☐ Insurance information
- ☐ Risk mitigation activities (assessing risks and taking action to reduce them, such as roof repair/replacement, installation of fire detection/suppression equipment, etc.)
- ☐ None of the above
- ☐ Do not have an emergency/disaster plan

32. Does your institution keep a kit of basic supplies for emergency salvage of collections onsite? (select the answer that best applies)

- ☐ No
- ☐ Yes, the kit provide basic supplies for responding to minor damage to collections (e.g., mops, buckets, sponges, gloves, plastic sheeting)
- ☐ Yes, the kit provides supplies for responding to significant damage to collections (e.g., includes some boxes for packing out collections, freezer paper, absorbent paper, flashlights, scissors, tape, wet-vacuum, portable fans, etc.)
- ☐ Yes, the kit provides supplies for responding to major damage to collections (e.g., supplies as noted above, but larger amounts)

33. Are copies of records essential to resuming institutional services (e.g., inventory or catalog of collections, insurance policies, financial and administrative records) stored offsite, at a location that is more than 25 miles away? (select one)

- ☐ Yes
- ☐ Some, but not all
- ☐ No
- ☐ Do not have copies

34. Are emergency backups of all unique electronic data (e.g., digital collections, cataloging data, administrative data) maintained regularly and stored off-site, at a location that is more than 25 miles away? (select one)

- ☐ Yes
- ☐ Some, but not all
- ☐ No
- ☐ Do not hold unique electronic data

35. What type of fire protection equipment is in use in your institution? (select the answer that best applies)

- ☐ None
- ☐ Manual fire alarms and fire extinguishers
- ☐ Manual fire alarms, fire extinguishers, and automated fire detection system; no fire suppression system
- ☐ Manual fire alarms, fire extinguishers, and automated fire detection system, and automated fire suppression system (e.g., sprinklers) monitored 24 hours a day by an off-site service provider

36. What security methods does your institution employ to help prevent theft or vandalism of the collection? (select the answer that best applies)

- ☐ None
- ☐ Alarms on doors and/or windows, but no off-site 24 hour monitoring
- ☐ Security system that is monitored 24 hours a day by an off-site service provider
- ☐ Security system that is monitored 24 hours a day by an off-site service provider, plus on-site guards or security staff/patrols

Collections Care

37. How much future collection growth can your institution's current storage space accommodate safely and properly? (select one)

- ☐ None
- ☐ 1-2 years
- ☐ 3-5 years
- ☐ 6-10 years

38. Does your institution have sufficient appropriate storage furniture (e.g., shelving, drawers, map cases, cabinets) for its collections? (select one)

- ☐ No, for none of the collections
- ☐ Yes, for some collections
- ☐ Yes, for most collections
- ☐ Yes, for all collections

39. Do your institution's exhibit mounts/supports and exhibit cases meet preservation recommendations (e.g., are they constructed from materials that will not damage collections and that properly support the items being exhibited?) (select one)

- ☐ No
- ☐ Yes, for some exhibited collections
- ☐ Yes, for most exhibited collections

☐ Yes, for all exhibited collections

☐ Not applicable

40. What collections in your institution are in need of rehousing using preservation quality (e.g., chemically stable and physically durable) materials? Depending on the type of collection, rehousing might include placing collections in enclosures, folders, boxes, trays, or drawers; storing collections on specialized shelves, racks, and/or cabinets; and cushioning, supporting, or mounting collections for storage.

	All	Most	Some	None	Not applicable
Books and Bound Volumes (monographs, serials, newspapers, scrapbooks, albums, pamphlets)					
Unbound Sheets (archival records, manuscripts, maps, oversized items, ephemera, broadsides, philatelic and numismatic artifacts, other paper artifacts)					
Photographic Collections (microfilm, microfiche, photographic prints, negatives, slides, transparencies, daguerreotypes, ambrotypes, tintypes, glass plate negatives, lantern slides)					
Analog Moving Image Collections (motion picture film, video tape)					
Analog Recorded Sound Collections (cylinder, phonodisc, cassette, open reel tape)					
Art Objects (paintings, prints, drawings, sculpture, decorative arts)					
Historic and Ethnographic Objects (textiles, ceramics, glass, ethnographic artifacts, metalwork, furniture, domestic artifacts, technological and agricultural artifacts, medical and scientific artifacts, transportation vehicles)					
Archaeological Collections					
Natural Science Non-Living Specimens (zoological, botanical, geological, paleontological, paleobotany specimens)					

41. Does your institution instruct patrons about proper handling and use of collections, where appropriate? (select one)

☐ Yes, verbal instructions are provided

☐ Yes, written instructions are provided

☐ No

☐ Not applicable

42. Does your institution have a routine program/schedule for cleaning collections? (select one in each row)

	Yes	No	Not applicable
Stack cleaning			
Cleaning of exhibits			
Cleaning of collections			

43. Indicate conservation treatment activities undertaken by your institution. (select all that apply)

	Done by institution staff (including parent institution)	Done by external provider	Not done	Not applicable
Preventive conservation (e.g., basic repair or stabilization using preservation quality supplies)				
Specimen preparation				
Treatment by a professional conservator (e.g., treatment beyond basic stabilization or basic repair)				

44. Does your institution reformat collections for preservation? (select all that apply)

	Done by institution staff (including parent institution)	Done by external provider	Not done	Not applicable
Preservation photocopying				
Preservation microfilming				
Digital scanning				

Copying AV materials or migrating them to new formats				
---	--	--	--	--

45. Do your collections include digital content (computer based representation of text, numbers, images, and/or sound, e.g., optical discs, Web sites, electronic books)? (select one)

- ☐ Yes
- ☐ No
- ☐ Don't know

46. If your collections include digital content, does your institution have a responsibility to preserve this content over the long term? (select one)

- ☐ Yes
- ☐ No
- ☐ Don't know
- ☐ Not applicable; collections do not include digital content

47. If your collections include digital content that your institution has a responsibility to preserve over the long term, have arrangements been made to maintain access to this content over time? (select one)

- ☐ Yes, through in-house storage
- ☐ Yes, through off-site storage with a commercial provider
- ☐ Yes, through off-site storage with a provider that meets criteria for a trusted digital repository
- ☐ No, arrangements have not been made to maintain access over time
- ☐ Don't know if arrangements have been made
- ☐ Not applicable; no responsibility for preservation of digital content

48. Overall, what collections do you believe are at risk in your institution? (Select one choice in each row; if your institution does not hold a type of collection, select Not Applicable)

	Low Risk	Medium Risk	High Risk	Not applicable
Books and Bound Volumes (monographs, serials, newspapers, scrapbooks, albums, pamphlets)				
Unbound Sheets (archival records, manuscripts, maps, oversized items, ephemera, broadsides, philatelic and numismatic artifacts, other paper artifacts)				

Photographic Collections (microfilm, microfiche, photographic prints, negatives, slides, transparencies, daguerreotypes, ambrotypes, tintypes, glass plate negatives, lantern slides)				
Analog Moving Image Collections (motion picture film, video tape)				
Digital Moving Image Collections (laser disc, CD, DVD, minidisk)				
Analog Recorded Sound Collections (cylinder, phonodisc, cassette, open reel tape)				
Digital Recorded Sound Collections (DAT, CD, DVD, MP-3)				
Digital Data Collections (floppy discs, CD-R, DVD-R, data tape, online collections)				
Art Objects (paintings, prints, drawings, sculpture, decorative arts)				
Historic and Ethnographic Objects (textiles, ceramics, glass, ethnographic artifacts, metalwork, furniture, domestic artifacts, technological and agricultural artifacts, medical and scientific artifacts, transportation vehicles)				
Archaeological Collections				
Natural Science Non-Living Specimens (zoological, botanical, geological, paleontological, paleobotany specimens)				
Historic Structures				

Expenditures and Funding

49. What was your institution's total annual operating budget [of the entity indicated in section 1, question 1] for the most recently completed fiscal year? (select one)

- ☐ Less than \$10,000
- ☐ \$10,000 to 50,000
- ☐ \$50,000 to 100,000
- ☐ \$100,000 to 500,000

- ☐ \$500,000 to 1,000,000
- ☐ \$1,000,000 to 5,000,000
- ☐ \$5,000,000 to 10,000,000
- ☐ \$10,000,000 or more

50. Do you have funds specifically allocated for conservation/preservation activities in your annual budget? (select one)

- ☐ No
- ☐ No specific line-item in budget, but other budgeted funds are available for basic supplies
- ☐ No specific line-item in budget, but other budgeted funds are available for supplies and/or services, and there is occasional supplemental funding from grants.
- ☐ Yes, there is a line-item for conservation/preservation activities in the budget, and funds are supplemented periodically by funding from grants

51. For the most recently completed fiscal year, what was your institution's annual budget for conservation/preservation? (Include any funds used for preservation activities, such as staffing, supplies, equipment, surveys, treatment, reformatting, etc. Include grants and any other temporary funding. Provide an estimate if necessary)

Annual budget for conservation/preservation
in the most recently completed fiscal year

Indicate most recently completed fiscal year
(e.g., FY2007, FY2008)

52. If you have applied for a grant within the last three years, from which of the following external sources have you received funding that you have used to support conservation or preservation activities? (select all that apply)

- ☐ Federal – Institute of Museum and Library Services (IMLS)
- ☐ Federal – National Historic Publications and Records Commission (NHPRC)
- ☐ Federal – National Endowment for the Humanities (NEH)
- ☐ Federal – other
- ☐ State
- ☐ Corporation or company
- ☐ Foundation
- ☐ Individual or private philanthropist
- ☐ Friends group
- ☐ Not applicable; the institution did not apply for a grant within the last three years
- ☐ Other (please specify) _____

53. If your institution did not make a grant application for conservation/preservation funding from any public or private source in the last 3 years, which of the following factors influenced the decision not to apply? (select all that apply)

- ☐ Not aware of appropriate funding sources
- ☐ Lack of staff time or expertise to complete application or administer project
- ☐ Additional project planning or preparation necessary before requesting grant funds
- ☐ Conservation/preservation not an institutional priority
- ☐ Currently have sufficient sources of funding
- ☐ Have applied for grant(s) from external sources in the past but have been unsuccessful
- ☐ Not applicable; the institution has applied for grant funding in the last three years
- ☐ Other, please specify: _____

Advocacy and Training

54. Do you promote awareness of conservation/preservation activities using the following?

	Yes	No	Not applicable
Educating donors and/or trustees about preservation activities (e.g., in tours, demonstrations)			
Presenting preservation activities to members' or friends' groups (e.g., in educational programming, printed/promotional materials)			
Highlighting preservation activities in exhibitions or other programs for the public			
Serving as a source for conservation/preservation information to the public (e.g., responding to queries)			
Using conservation/preservation as part of a strategy, for earned income (e.g., selling archivally safe materials in shop, providing conservation on a fee-for-service basis)			
Featuring preservation work on Web site			

55. What resources do you currently use to learn more about preservation/conservation? (select all that apply)

- ☐ Other collecting institutions
- ☐ Preservation web sites
- ☐ Other online resources (e.g, blogs, listservs, wikis, discussion lists)
- ☐ Books

- ☐ Articles
- ☐ Professional conferences
- ☐ Preservation workshops
- ☐ State or regional preservation offices/organizations
- ☐ Other, please specify: _____

56. In a typical year, does your budget include funding for staff attendance at training sessions/workshops/conferences on specific preservation/conservation topics? (select one)

- ☐ Never
- ☐ Yes, occasionally
- ☐ Yes, but limited based on yearly budget
- ☐ Yes, funding is readily available

57. What types of training have staff members at your institution attended in the past? (select all that apply)

	Face-to-face training	Online training
Full day		
Partial day (more than 2 hours)		
1-2 hours		
No training		

58. What types of training would your institution be interested in pursuing in future? (check all that apply)

- ☐ Conferences/professional meetings
- ☐ Self-directed online courses
- ☐ Live facilitated online courses
- ☐ Face-to-face full day workshops
- ☐ Face-to-face partial day workshops (9am-12pm)
- ☐ Face-to-face partial day workshops (10am – 3pm)
- ☐ Other (please specify): _____

Respondent Information

To be completed by the lead person completing or coordinating the survey. This information will be used only if we need to clarify a response. We will keep this information, like all the information you provided in this survey, completely confidential. Only aggregate data will be reported. Your individual responses will never be published or identified by us or any other organization cooperating in this project.

59. Information about lead person completing or coordinating survey (will remain confidential)

Name _____

Title _____

Phone number _____

Fax number _____

Email address _____

Brief description of
preservation
responsibilities _____

60. Did more than one person complete this survey?

- ☐ a. Yes
- ☐ b. No

61. May we have permission to include the name of your institution in a published list of survey participants? Your survey responses will not be linked to your name; results will be reported only in aggregate.

- ☐ a. Yes
- ☐ b. No

62. From the choices provided, what do you feel are your institution's three highest preservation/conservation needs?

First priority _____

Second priority _____

Third priority _____

[A drop-down box is provided for each, with the following choices:]

Preservation/Conservation Need

AV collections, preservation of
Conservation treatment
Digital collections, preservation of
Emergency plan
Environmental controls
Funding for preservation
Integrated pest management
Light control
Prioritized long-range preservation plan
Rehousing of collections
Reformatting of paper collections
Security improvements
Staff training
Staffing, additional
Storage furniture, additional
Storage space, additional
Storage space, off-site
Storage space, renovated
Survey(s), collection condition
Survey, general preservation planning

APPENDIX B: Georgia HCI Preservation Stair-Step Characteristics

Step 1: Establishing Preservation Awareness

The beginning point for preservation of collections. There is minimal preservation activity, and the institution is just beginning to develop an awareness of preservation needs.

Characteristics of Step 1 may include:

- The collection is not cataloged, and the institution does not have a clear mission or collecting policy for its collections. There is little awareness of preservation needs, and no preservation planning. There is no funding from the institution's budget for preservation activities.
- Environmental control is minimal; there is no heating or cooling, or there is winter heating only. Staff is unaware of the effect of environmental conditions on collections. Collections are exposed to excessive amounts of light, and/or pest infestation.
- There is no emergency plan for recovery of damaged collections, and no fire or security protection.
- There is little or no space for future collection growth, and storage furniture and enclosures for existing collections are inadequate. Exhibit cases and supports are damaging to collections.

Step 2: Building a Basic Preservation Program

A basic awareness of preservation needs leads to the establishment of some preservation activities in several categories, including environmental control, emergency planning, light protection, staffing, collections care, funding, and training.

Characteristics of Step 2 may include:

- Staff members have developed a general awareness of preservation needs, but there is no formal preservation planning activity. A few basic preservation activities are carried out by staff as needed; this is supplemented by occasional use of outside service provider(s). Some collections are cataloged.
- There is no specific line-item for preservation in the budget, but other budgeted funds are available for basic preservation supplies.
- There is some environmental control in storage areas; in addition to heating, cooling and/or relative humidity controls are provided in summer using stand-alone units. However, conditions vary since settings are altered frequently for human comfort and/or energy savings. Staff members have a basic awareness of the need for environmental monitoring and occasionally spot-check conditions. Light-saving controls and/or UV-filtering products are used in some storage, exhibition, and use areas.
- An emergency plan that includes the collections is being developed, and some fire protection and security mechanisms are provided.
- Staff members are aware of the need to plan for future storage of collections, and they have begun to house collections in appropriate storage furniture, enclosures, and exhibit cases.

Step 3: Advancing Preservation Within Your Organization

Characterized by more formal preservation planning efforts and allocation of additional resources, as well as more complex and ongoing preservation activities in various categories.

Characteristics of Step 3 may include:

- Preservation is a part of the institution's stated mission. A larger proportion of the collections are cataloged, and a formal general preservation assessment of the institution has been conducted. There is no specific line-item for preservation in the budget, but other budgeted funds and occasional grants are available.
- Overall, preservation activities are more extensive and are assigned to specific staff members as a part of their overall responsibilities; outside service providers are used as appropriate.
- The institution has a standard building environmental control system that operates 24 hours, 7 days a week. Settings may be altered occasionally, and climate conditions may sometimes vary. There is a regular program to monitor temperature and relative humidity. Light-saving controls and/or UV-filtering products are used in most storage, exhibition, and use areas, and an integrated pest management program is in place.
- An emergency plan that includes the collections is in place, but it has not been updated in the past 12 months. Staff members are trained in using the emergency plan once a year. Fire protection and security systems are monitored 24 hours a day, but there is no fire suppression system.
- The institution has planned for a few years of future collection growth, and efforts are ongoing to ensure that most collections are stored and exhibited in appropriate storage furniture and enclosures.

Step 4: Achieving Comprehensive Preservation of Collections

A well-established preservation program is in place that addresses all major preservation needs and issues. The organization ensures that ongoing resources are available to support the program, and that new preservation needs are identified and addressed as circumstances change.

Characteristics of Step 4:

- Preservation is a part of the institution's stated mission, and a trained staff carries out a wide range of systematic preservation activities, supplemented by services from outside providers as appropriate. The institution has implemented recommendations of any preservation assessment(s) that have been conducted, and has prepared a long-range preservation plan.
- There is a line-item for conservation/preservation in the institutional budget, and these funds are supplemented periodically by funding from grants.
- The institution has a specialized HVAC system for its storage areas that is designed to provide both dehumidification in summer and humidification in winter. Equipment runs all the time and settings are not altered. There is a well-developed climate monitoring program. Light-saving controls and/or UV-filtering products are used in all storage, exhibition, and use areas.
- An emergency plan that includes the collections is in place and is updated every 12 months (or more frequently). Staff training sessions are held multiple times per year.
- Fire protection includes an automated fire suppression system that is monitored 24 hours a day.
- The institution has planned for plenty of storage space for expected future collection growth. Virtually all of the collections are cataloged, and they are stored/exhibited in appropriate storage furniture and enclosures.

APPENDIX C: Stair-Step Questions

INTELLECTUAL CONTROL

Have your collections been cataloged (e.g., is there a research tool or finding aid that provides intellectual control over each collection through entries that may contain descriptive detail, including physical description, provenance, history, accession information, etc.)? (select one)

- No catalog
- Some collections cataloged
- Most, but not all, collections cataloged
- Complete catalog

PRESERVATION MANAGEMENT

How does your institution's mission statement reflect preservation activities in your institution?
(select the answer that best applies)

- No written mission statement
- The written mission statement does not include preservation, but there is a general awareness of preservation issues and/or a few basic preservation activities are undertaken
- The written mission statement includes preservation, and various preservation activities are undertaken regularly as part of collections care
- The written mission statement includes preservation, and a wide range of preservation activities are carried out systematically

What preservation assessment and planning activities have been undertaken by your institution?
(select the answer that best applies)

- None
- General awareness of preservation needs, but no formal planning
- A formal preservation assessment of the entire institution has been conducted within the past five years (e.g., an assessment based on visual inspection of the collections and the areas where they are exhibited or held)
- A formal preservation planning survey of the entire institution has been conducted within the past five years, and actions have been taken to implement its recommendations

Which of the following most closely describes your staffing for preservation/conservation? (select the answer that best applies)

- No staff person has responsibility for preservation activities
- Preservation responsibilities are assigned to various staff as needed, and/or conservation/preservation services are occasionally obtained through external provider(s)
- Preservation responsibilities are assigned to specific staff members and conservation/preservation services are periodically obtained through external provider(s)
- Preservation or conservation responsibilities are assigned/stated in job descriptions for specific staff members, and conservation/preservation services are regularly obtained through external provider(s)

ENVIRONMENTAL CONTROL

How does your institution use environmental controls to meet temperature and relative humidity (RH) specifications for the preservation of your collection? (select the answer that best applies for the area in which the majority of your collection is stored)

- No heating (or winter heating only), with no cooling or RH control
- Winter heating with some summer cooling and/or RH control (e.g., individual room air conditioners, stand alone dehumidifiers/humidifiers)
- Standard HVAC (heating, ventilating and air-conditioning) system, with occasional additional RH control as needed (e.g., stand-alone dehumidifiers/humidifiers)
- Specialized HVAC system designed to provide both dehumidification in summer and humidification in winter

Does your environmental control equipment operate at the same settings 24 hours a day, 7 days a week? (select the answer that best applies for the area in which the majority of your collection is stored)

- There is no environmental control, or there is winter heating only (which may be turned off at night)
- Temperature control settings are altered frequently for human comfort and/or energy savings, AND/OR heat/air conditioning is turned off at night; RH control equipment may be run as needed
- Standard HVAC equipment operates 24 hours, 7 days a week, but settings may be altered occasionally; RH control equipment is run as needed
- Specialized HVAC equipment operates 24 hours, 7 days a week, and settings remain constant

Does your institution monitor temperature and RH? (select the answer that best applies to the area in which the majority of your collection is stored)

- No
- Yes, we spot-check environmental conditions (temperature and/or RH) occasionally using a portable instrument (e.g., thermometer, hygrometer, combination thermometer/hygrometer, Min/max thermohygrometer)
- Yes, we record temperature and RH readings regularly using a portable spot-check instrument or a continuous recording instrument (e.g., hygrothermograph, datalogger)
- Yes, we record temperature and RH readings regularly using a portable spot-check instrument or a continuous recording instrument, AND we analyze these readings and modify conditions as needed

How does your institution control light exposure (visible and/or ultraviolet) in collection STORAGE areas? (select the answer that best applies)

- No control of light exposure
- Use of light-saving controls and/or UV-filtering products in some storage areas
- Use of light-saving controls and/or UV-filtering products in most storage areas
- Use of light-saving controls and/or UV-filtering products in all storage areas

How does your institution control light exposure (visible and/or ultraviolet) in EXHIBITION/USE areas? (select the answer that best applies for the areas in which the majority of your collection is exhibited or used)

- No control of light exposure
- Use of light-saving controls and/or UV-filtering products in some exhibit/use areas
- Use of light-saving controls and/or UV-filtering products in most exhibit/use areas
- Use of light-saving controls and/or UV-filtering products in all exhibit/use areas

EMERGENCY PLANNING

Does your institution have a written emergency/disaster plan that includes the collection? (select one)

- No
- No, but one is being developed
- Yes, but it has not been updated (or reviewed or revised) in the past 12 months
- Yes, it is updated every 12 months (or more frequently)

If you have a written emergency/disaster plan, is your staff familiar with it and trained to carry it out? (select one)

- Have no written emergency plan
- Staff members have been given a copy of the plan, but no training sessions or exercises have been held
- Staff members have been trained to use the plan, and training sessions or exercises are held once per year or less frequently
- Staff members have been trained to use the plan, and training sessions or exercises are held more than once a year

Does your institution keep a kit of supplies for emergency salvage of collections onsite? (select the answer that best applies)

- No
- Yes, the kit provides basic supplies for responding to minor damage to collections (e.g., mops, buckets, sponges, gloves, plastic sheeting)
- Yes, the kit provides supplies for responding to significant damage to collections (e.g., includes some boxes for packing out collections, freezer paper, absorbent paper, flashlights, scissors, tape, wet-vacuum, portable fans, etc.)
- Yes, the kit provides supplies for responding to major damage to collections (e.g., supplies as noted above, but larger amounts)

What type of fire protection equipment is in use in your institution?

- None
- Manual fire alarms and fire extinguishers
- Manual fire alarms, fire extinguishers, and automated fire detection system; no fire suppression system
- Manual fire alarms, fire extinguishers, automated fire detection system, and automated fire suppression system (e.g., sprinklers) monitored 24 hours a day by an off-site service provider

What security methods does your institution employ to help prevent theft or vandalism of the collection? (select the answer that best applies)

- None
- Alarms on doors and/or windows, but no off-site 24 hour monitoring
- Security system that is monitored 24 hours a day by an off-site service provider
- Security system that is monitored 24 hours a day by an off-site service provider, plus on-site guards or security staff/patrols

COLLECTIONS CARE

How much future collection growth can your institution's current storage space accommodate safely and properly?

- None
- 1-2 years
- 3-5 years
- 6-10 years

Does your institution have sufficient appropriate storage furniture (e.g., shelving, drawers, map cases, cabinets) for its collections? (select one)

- No, for none of the collections
- Yes, for some collections
- Yes, for most collections
- Yes, for all collections

Do your institution's exhibit mounts/supports and exhibit cases meet preservation recommendations (e.g., are they constructed from materials that will not damage collections and that properly support the items being exhibited?) (select one)

- Not applicable
- No
- Yes, for some exhibited collections
- Yes, for most exhibited collections
- Yes, for all exhibited collections

EXPENDITURES AND FUNDING

Do you have funds specifically allocated for conservation/preservation activities in your annual budget? (select one)

- No
- No specific line-item in budget, but other budgeted funds are available for basic supplies
- No specific line-item in budget, but other budgeted funds are available for supplies and/or services, and there is occasional supplemental funding from grants
- Yes, there is a line-item for conservation/preservation activities in the budget, and funds are supplemented periodically by funding from grants

ADVOCACY AND TRAINING

In a typical year, does your budget include funding for staff attendance at training sessions/workshops/conferences on specific preservation/conservation topics? (select one)

- Never
- Yes, occasionally
- Yes, but limited based on yearly budget
- Yes, funding is readily available

APPENDIX D: Georgia HCI Sample Institutional Stair-Step Report

INTRODUCTION

Thank you for participating in the Georgia Healthy Collections Initiative (HCI) Test Survey! In addition to providing general information about the status of collections preservation in Georgia, the survey was designed to determine the current position of each participating institution's preservation program on a "stair-step" scale of 1 to 4 (minimal, basic, advanced, and comprehensive).

To this end, 19 questions within the HCI Survey were used to calculate an overall current stair-step level for each institution, as well as stair-step levels for each of the seven categories in the survey. Scores from .50-1.59 were Level 1, scores from 1.60-2.59 were Level 2, scores from 2.60-3.59 were Level 3, and scores from 3.60-4.00 were Level 4. Rankings for your institution are provided in this report, both overall and within each preservation category.

For each category, this report also provides background information and suggested actions that you might take to move preservation activities to the next "stair-step." This is a very general evaluation, and is not meant to replace an overall preservation assessment, but we hope that it will assist you in addressing preservation needs within your institution. Internet links to additional information are also provided.

Finally, we want to emphasize that all information in this report will be kept private. Data from the HCI Survey will be shared in aggregate, but no identifying information will ever be shared about any individual institution.

OVERALL STAIR-STEP LEVEL

2.37 = Step 2

CATEGORY STAIR-STEP LEVELS

Intellectual Control	2.00 = Step 2
Preservation Management	2.67 = Step 3
Environmental Control	2.40 = Step 2
Emergency Planning	2.40 = Step 2
Collections Care	2.00 = Step 2
Expenditures and Funding	3.00 = Step 3
Advocacy and Training	2.00 = Step 2

RECOMMENDATIONS BY CATEGORY

Intellectual Control

What is intellectual control? Essentially, it means knowing what materials your institution holds, understanding their content and characteristics, and describing them in a useful way. Intellectual control over collections is crucial to effective preservation. Resources available for preservation of collections are often limited, so relative priorities must be set and resources allocated to those materials that are most important to the institution. It is difficult to do this when collections are uncataloged and their characteristics and relationship to the institution's mission are unknown.

Good intellectual control over collections provides additional advantages; it helps you make your holdings accessible to users and makes it easier to keep track of collections during use. It also allows you to compare your collections to those of other institutions, which can be helpful in setting your own preservation priorities (you may target your preservation activities toward unique collections and/or those that are not preserved elsewhere).

Intellectual control takes different forms depending on the type of institution; a library or museum may catalog each book or object (providing descriptive detail that might include title, author or creator, physical description, provenance, history, accession information, etc.), while an archives may create more general finding aids that provide background and provenance of collections, but describe them at the folder or box (rather than the item) level.

Cataloging records should be made available electronically; this makes access and information-sharing easier. Again, the method(s) used will vary depending on the type of institution. These might include use of the standard MARC format, Encoded Archival Description (EAD) for web-based access, and/or database software such as Access, File Maker Pro, Archon, Archivist's Toolkit, Past Perfect, Voyager, or PINES. See Northeast Document Conservation Center's [Preservation 101, Session 1](#) for a general introduction to intellectual control for libraries and archives. The [American Association of Museums](#) and [Association for State and Local History](#) websites are good places to start for information about managing museum and historical collections.

*Your current stair-step level in this category is **Step 2**. To move to **Step 3**, we recommend that you:*

- Continue existing cataloging projects, with the goal of cataloging a majority of your collections.
- Add detail to existing cataloging records as appropriate, including records of preservation activities that are carried out on items or groups of items.
- Computerize your cataloging records if this has not been done.

Preservation Management

The term preservation management describes the process of analyzing collection preservation needs, identifying resources, and determining how best to allocate those resources. Specific preservation management activities might include devising a mission statement and collecting policy, conducting a preservation assessment, assigning staff responsibilities for preservation activities, and writing a preservation plan for your collections.

The mission statement should identify your institution's overall goals for the collection. In very general terms, it should indicate what your repository will collect, what types of users it will serve, and how you will care for your collections. It is very important to include a reference to preservation in your mission statement, since this will help to give preservation equal status with other institutional activities such as making collections available to users. The mission statement (and an accompanying collecting policy that provides more detail) will guide your preservation decisions by articulating your institution's overall goals so you can identify the collections in need that are most important to those goals.

For most institutions, the best way to assess preservation needs is to conduct a preservation assessment. This is normally a one day survey (most often done by an outside consultant) in which the surveyor evaluates the collections, the building, and existing preservation activities. A report with recommendations for future action is provided, often with short-, medium-, and long-term priorities for preservation.

The preservation assessment can be used to create a preservation plan for your collections. Staffing for preservation will be crucial to successful implementation of such a plan. While it is not practical for smaller institutions to have full-time preservation staff, it is important for institutions with a commitment to preservation to give staff members specific preservation responsibilities and sufficient time to carry them out.

See Northeast Document Conservation Center's [Preservation 101, Session 1](#) for information on mission statements for libraries and archives. See the [American Association of Museums](#) for information about mission statements for museums, as well as other standards and best practices. The [American Association for State and Local History bookstore](#) also provides a variety of technical leaflets and other publications, some of which address preservation management issues.

*Your current stair-step level in this category is **Step 3**. To move to **Step 4**, we recommend that you:*

- Include preservation in your institution's mission statement, to place it on an equal footing with other institutional activities.
- Use the general preservation assessment of your institution and collections to create a long-range preservation plan. Short, medium, and long term priorities should be determined, if this was not done as part of the preservation assessment process.
- Write preservation responsibilities into staff job descriptions, ensure that time is provided for staff to carry them out, and provide ongoing training, education, and networking opportunities for staff with preservation responsibilities.
- Use qualified external service providers for preservation needs requiring specialized skills or technologies (e.g., microfilming, scanning, treatment), as appropriate.

Environmental Control

Control of temperature and relative humidity (RH) greatly affects the lifespan of your collections, but the importance of environmental control is sometimes overlooked because the detrimental effects of poor conditions are not obvious in the short term. In fact, high temperature and RH can dramatically lower the life expectancy of collections, while moderate stable conditions result in a longer life expectancy. Why is this? In simple terms, high temperature and RH provide fuel for the chemical reactions that contribute to deterioration.

Guidelines for temperature and relative humidity vary by type of collection. For paper collections, a temperature of 70°F or lower, and a stable RH between 30% and 50% is recommended. In practice, there are a number of issues that affect environmental control, ranging from outdoor conditions, to the type of climate control equipment used, to whether or not temperature and humidity settings are changed from day to day. It is absolutely essential to monitor and track temperature and RH in storage areas on an ongoing basis. This provides an accurate picture of climate conditions throughout the year, allowing you to make changes to climate control equipment as needed. See the [Image Permanence Institute](#) for information about current research into the effects of temperature and RH on collections.

Light control is also important to the long-term preservation of collections. Light exposure is cumulative, and it can cause fading, weakening, and discoloration. Light exposure can be a problem in storage, exhibition, and/or use of collections. Possible protections against light damage include turning off lights, installing timers on lights, using shades or blinds, installing UV film, using low-UV fluorescent bulbs, using UV-filters for fluorescent bulbs, boxing collections, limiting the length of exhibitions, providing covers for exhibit cases, and setting upper limits for light levels in exhibit areas. See Northeast Document Conservation Center's ["Protection from Light Damage"](#) for a summary of the effects of light on paper collections.

*Your current stair-step level in this category is **Step 2**. To move to **Step 3**, we recommend that you:*

- Add a standard HVAC system to your collection storage areas if this has not been done. You may also need additional RH control, such as supplemental dehumidification in summer. Educate facilities staff about climate needs for your collections.
- Run temperature control equipment 24 hours a day (do not turn off the heat on weekends or at night). Run RH control equipment 24 hours a day also, if it is possible and safe to do so. Be sure staff and facilities personnel do not alter temperature or RH settings for personal comfort.
- Use one or more continuous monitoring instrument(s)—e.g., hygrothermograph or datalogger—to record climate conditions regularly in all collection storage areas.
- Maintain records of all climate readings so that they can be analyzed to determine if changes are needed. Assign responsibility for downloading or transcribing readings to specific staff members.
- Protect collections from visible and UV light exposure in storage areas, ensuring that most items are protected.
- Protect collections from visible and UV light exposure during exhibition and use, ensuring that most items are protected.

Emergency Planning

Most institutions have an emergency plan for staff/patrons, but many do not include salvage of collections. Important elements to include in a plan for collections include: emergency numbers, emergency response instructions, salvage instructions for the types of collections held by the institution, collection salvage priorities, services and suppliers (especially local freezer facilities for wet collections), facilities information, insurance information, and information on dealing with local emergency management personnel (e.g., police, firefighters, emergency managers).

An emergency plan will not be effective if staff members do not know how to use it. Staff members must be regularly trained in using the plan, and the plan must be updated at least once a year. Copies should be widely circulated throughout the institution and stored offsite as well. It is also very helpful to put together a kit of emergency supplies that staff can use to begin salvaging collections as needed – but be sure that they know how to use the supplies properly. Quick response to a water disaster can prevent additional damage and mold growth. This kit must also be reviewed frequently and replenished as it is used.

Emergency planning includes preventive activities as well as emergency response. Both fire prevention and security play an important role in safeguarding collections and preventing emergencies. Fire can damage collections beyond hope of recovery, and valuable collections can be lost or damaged due to theft and/or vandalism. Manual alarms, fire extinguishers, automated fire detection, and automated fire suppression equipment can be used to protect against fire. Alarms, security systems, guards/patrols, and monitoring of collection use can all be used to enhance security. Fire protection and security systems should be monitored 24 hours a day whenever possible.

See Heritage Preservation's [Heritage Emergency National Task Force](#) for information on emergency preparedness for collections, as well as the American Institute for Conservation's [Disaster Response and Recovery](#) page. See Northeast Document Conservation Center and Massachusetts Board of Library Commissioners' [dPlan](#) for a free online template that allows you to create a disaster plan for your institution.

*Your current stair-step level in this category is **Step 2**. To move to **Step 3**, we recommend that you:*

- Continue developing your emergency plan, with the goal of creating a usable product, even if it does not cover every possible emergency. Assess the most serious risks faced by your institution and plan for those first (e.g., hurricane, flooding). Important elements to include are: an emergency call list, a list of local freezer storage space in case of a water disaster, basic instructions for salvaging wet collections, information about collections insurance, procedures for accessing money, and a list of priority collections and their locations.
- Circulate the emergency plan among staff, and train staff to use the plan. Hold training sessions or exercises at least once per year.
- Put together a supply kit for responding to significant damage to collections. This might include boxes for packing out collections, freezer paper, absorbent paper, flashlights, scissors, tape, a wet-vacuum, portable fans, etc.
- Install a fire detection system that is monitored 24 hours a day, if this has not yet been done.

- Install a security system that is monitored 24 hours a day. Ensure that procedures for monitoring collection use (e.g., registration forms, requiring users to check personal belongings, arranging for continuous observation of researchers during use) are universally enforced.

Collections Care

The term “collections care” includes the provision of proper storage and handling for collections, as well as proper housekeeping, conservation treatment, and reformatting. Appropriate storage furniture and enclosures, as well as careful handling, can lengthen the life of collections, but poor-quality furniture and enclosures, improper handling, and poor housekeeping can cause serious damage to collections. Active intervention in the form of treatment for damaged collections and reformatting of at risk materials is also important.

On the most basic level, every institution must provide adequate and appropriate storage space for its collections. While some collections do not grow, most institutions do add additional materials over time, and must be prepared to properly house them. It is also important to provide sufficient appropriate storage furniture, so that collections are not overcrowded, jumbled, and/or in danger from being stored on the floor or in attics/basements. Individual items or collections should also be stored in preservation quality enclosures, and collections on exhibit should be protected by preservation quality mounts/supports and exhibit cases.

See the Regional Alliance for Preservation’s [Key Resources](#) page for specialized bibliographies that point to resources on collections care for libraries, archives, museums, historical societies, and house museums.

*Your current stair-step level in this category is **Step 2**. To move to **Step 3**, we recommend that you:*

- Take steps to provide space for 3-5 years of collection growth. This may require weeding of existing collections and/or adding additional space to house new ones.
- Rehouse collections into appropriate storage furniture, with the goal of housing most collections properly.
- Rehouse collections into appropriate enclosures as needed.
- Improve exhibit conditions, with the goal of exhibiting most collections according to preservation recommendations. Actions might include making/purchasing preservation quality mounts/supports, refurbishing and/or rebuilding exhibit cases, and monitoring and improving climate conditions within cases.

Expenditures and Funding

While some preservation activities can be undertaken for minimal cost, any significant progress in preserving collections requires an ongoing commitment of funds. Ideally there should be a line-item in the institution’s budget for preservation/conservation of collections, but if this is not possible, sometimes general budget funds can be used for preservation activities, such as purchasing enclosures and other supplies. Grant funding can also be used to fund specific preservation projects, but it cannot replace an ongoing financial commitment from the institution

itself. In setting preservation priorities, institutions must always balance the cost of an activity against its importance to the institutional mission. See Northeast Document Conservation Center's [Preservation 101, Session 8: Program Funding](#) for additional information on budgeting, funding sources, and grant-writing.

*Your current stair-step level in this category is **Step 3**. To move to **Step 4**, we recommend that you:*

- Add a line-item to the institution's budget for preservation/conservation activities.
- Continue to pursue grant funding regularly for special preservation/conservation projects.

Advocacy and Training

Promoting awareness of conservation/preservation activities among staff, administration, and trustees can greatly increase the institution's commitment to preservation of collections. Staff training is also crucial to a successful preservation program. Workshops, in-house training, and attendance at conferences help staff members maintain preservation skills, learn about new preservation developments, and network and share ideas with preservation staff at other institutions. [LYRISIS](#) provides preservation classes, workshops, and other resources in the Southeast region.

An excellent resource for information about preservation/conservation is Conservation OnLine (CoOL), maintained by the American Institute for Conservation. The Conservation DistList, a preservation/conservation discussion list, is also maintained by AIC. See the Quick Links on the [AIC main page](#) for current information about CoOL and the DistList.

*Your current stair-step level in this category is **Step 2**. To move to **Step 3**, we recommend that you:*

- Increase the amount spent on staff attendance at workshops or conferences relating to

CONCLUSION

Thank you again for your participation in the Georgia Healthy Collections Initiative Survey. We hope that this report has been helpful to you. In the next phase of this project it is hoped that the survey will be administered to a wider range of collections-holding institutions in Georgia, and that the stair-step component will be automated to allow you to return to the survey and calculate whether your preservation program has moved to the next stair-step level. We will let you know about new developments as this project moves forward.

APPENDIX E: Suggested Changes for the Georgia HCI Full Survey

General Issues

Since the Survey Monkey online surveying tool has certain limitations, the full survey will need to use a more sophisticated survey software with greater capabilities. In Survey Monkey, users could not save their partially-completed questionnaires to complete later, nor could additional background information on specific questions (e.g., in the form of pop-up windows) be provided to users. Both of these would be desirable for the full survey.

In addition, it was not possible to automate analysis of the stair-step data using Survey Monkey, since it was not possible to pull out the subset of questions for analysis. Cleaning of the data and stair-step analysis was done manually. With a much larger sample in the full survey, this data-cleaning and analysis will need to be automated as much as possible. It would also be highly desirable to automate production of the stair-step reports for each institution, perhaps even providing a “feedback” screen after the survey is completed, showing the user’s stair-step level and a link to a report that could be printed.

During the planning process for the full survey, professional expertise will be needed to help answer several questions. What type of sampling method(s) would be most effective? How many institutions will be surveyed? How much personal follow-up can/should be provided to ensure that the survey is completed? How will the survey be physically distributed? Can/should a paper copy be provided in addition to an online survey?

Changes to the Survey Questionnaire

Suggested changes are noted by category within the survey questionnaire. These potential changes were identified by the project staff during the process of data analysis.

Description of Collecting or Holding Institution

- Question 5 (Institution’s primary function or service): Additional answer choices are needed for “Public library – general collection” and for “Specialty museum.”
- Question 9 (how many staff are currently employed in the institution?): This question should be reevaluated to see whether or not it should be simplified, or perhaps whether full-time/part-time and paid/unpaid should be separate questions.
- Question 10 (number of visitors/users served) and question 11 (web site traffic): These questions should either be removed or they should be revised to produce numbers that would be useful in enhancing tourism.

- Question 12 (types of collections held): Consider whether it might be more helpful to some type of numbers in the answer choices (e.g., percentages, number ranges) rather than yes/no answer choices. This would give a better sense of how much of each type of material is held in institutions.

Preservation Management

- Question 19 (internal staff who perform conservation/preservation activities): The project staff felt that this question did not go far enough. Other issues that might be explored (probably in the form of additional questions) include:
 - How many staff members make up the FTE numbers (e.g., is only one person responsible for preservation/conservation, or are the activities shared among several staff)?
 - Are those with preservation/conservation responsibilities full-time staff, part-time staff, volunteers, etc.?
 - Are staff members with preservation/conservation responsibilities trained? What type of training?

Emergency Planning

- Question 29 (does your institution have a written emergency plan?): Reverse the order of the answer choices, to make them consistent with the other stair-step questions for purposes of analysis (e.g., first answer choice = stair-step 1, second choice = stair-step 2).
- A question about working with local, state, and/or federal emergency managers should be added to this section (e.g., are local/state emergency managers familiar with your institution and collections?).
- Consider adding an additional security question that asks what procedures are in place to observe researchers/visitors while they are working with/using collection materials.

Collections Care

- Change the name of this section from “Collections Care” to “Storage, Handling, and Treatment”.
- Consider adding one or more stair-step questions to this category (these could be new questions or questions already in the survey). The existing stair-step questions in this category address only storage space and storage furniture. In the importance survey, respondents rated the category as very important, but the actual questions currently in the category were rated less important.
- Question 40 (collections in need of rehousing): As in Question 12, consider whether it would be helpful to provide numbers in the answer choices (e.g., percentages, number ranges) rather than “All/Most/Some/None/NA.” Again, this would provide more concrete data about how many or what proportion of collections need rehousing.
- Question 43 (conservation treatment activities): Separate stabilization from basic repair, so that it is possible to analyze how many institutions are doing each one. One or more additional questions are

also needed about training (e.g., ask institutions if they are trained in stabilization or basic repair of collections, and how frequently this training is refreshed/retaken).

- Add one or more questions about in-house digital scanning (e.g., what procedures are followed, what staff members are doing the scanning, and what training is provided for those staff members?).

Advocacy and Training

- Question 55 (what preservation resources do you currently use?) and Question 58 (what types of training would interest your institution in future?): Both of these questions should ask respondents to rate the choices on a scale, or in order of importance, rather than simply allowing them to check all that apply.
- Add a question that asks how much institutions would be willing to pay for training/workshops. Again, they should be asked to rate the choices on a scale.